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94th Congress
2d Session

COMMITTEE PRINT

LEGISLATIVE OVERSIGHT AND PROGRAM EVALUATION

A SEMINAR SPONSORED BY CONGRESSIONAL RESEARCH SERVICE

PREPARED FOR THE

SUBCOMMITTEE ON OVERSIGHT PROCEDURES

OF THE

COMMITTEE ON GOVERNMENT OPERATIONS
UNITED STATES SENATE

BY THE

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WASHINGTON, D.C. 20510

May 19, 1976

Honorable Abe Ribicoff
Chairman
Committee on Government Operations
United States Senate
Washington, D.C. 20510

Dear Mr. Chairman:

On behalf of the Subcommittee on Oversight Procedures, I hereby submit a report, "Legislative Oversight and Program Evaluation: Proceedings of a Seminar Sponsored by the Congressional Research Service, May, 1975."

This report was compiled by the Congressional Research Service, Library of Congress, at my request. It contains papers and other materials prepared in connection with a seminar sponsored by CRS in May of 1975 at the initiation of Senators Lee Metcalf and Bill Brock.

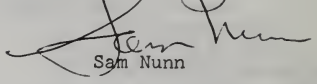
The seminar was designed to acquaint congressional staff with the various techniques of oversight and the resources available to them. Special emphasis was given to program review and evaluation.

The Subcommittee on Oversight Procedures has a responsibility to develop more effective methods of overseeing the Executive branch of the government. The proceedings of this seminar should contribute to a better understanding of oversight methods on the part of congressional staff and, consequently, should lead to more effective oversight.

On behalf of the Subcommittee, I respectfully request that this report be printed for the use of the Government Operations Committee in order to make the materials available

to Members of Congress and staff members who were not able to attend the seminar.

Sincerely,



Sam Nunn

Introduction 1

Summary of the Main Themes of the Seminar Series on "Legislative Oversight and Evaluation," May 1975 9

Day I: Overview of Responsibilities and Resources for Legislative Oversight and Program Evaluation: Summary of Proceedings 28

"Introductory Remarks," Lester S. Jayson, Director, Congressional Research Service 41

"Congressional Oversight: A Review of Recent Legislative Activities," Walter J. Oleszek, Congressional Research Service 44

"Program Evaluation Concepts," Genevieve J. Knezo, Congressional Research Service 55

"Ask the Right Questions," Dennis L. Little, Futures Group, Congressional Research Service 63

Discussion 70

"Congressional Research Service: Resources for Oversight and Evaluation," Norman Beckman, Deputy Director, Congressional Research Service (Dr. Beckman is now Acting Director) . . . 71

"The Service's Responsibilities for Emerging Issues and Terminating Programs," David E. Gushee, Congressional Research Service 90

"Monitoring Reports to Congress Required by Law," Ellen C. Collier, Congressional Research Service 94

Discussion 104

["The General Accounting Office's Responsibilities for Oversight and Evaluation in Reference to the Congressional Budget and Impoundment Control Act"], James P. Oliver, Deputy Director Financial and General Management Studies Division, General Accounting Office 105

Discussion 113

TABLE OF CONTENTS (Cont.)

Page

"The Office of Technology Assessment: A Description of the Office's Objectives and Activities," Gary Thomas, Office of Technology Assessment 114

Discussion 145

["Oversight Responsibilities and Activities of the Senate Committee on Government Operations, and Several of Its Subcommittees"] Marilyn Harris, Chief Clerk; Howard J. Feldman, Chief Counsel, Permanent Subcommittee on Investigations; James Davidson, Professional Staff Member, Subcommittee on Intergovernmental Relations; Victor O. Reinemier, Staff Director, Subcommittee on Reports, Accounting and Management; Ron Chiodo, Professional Staff Member Subcommittee on Federal Spending Practices, Efficiency, and Open Government, and Bill Goodwin, Jr., Staff Director, Subcommittee on Oversight Procedures 146

Day II: Congressional Committee Case Studies of Evaluation and Oversight: Summary of Proceedings of Day II 164

"Foreign Affairs Oversight: Role of the Staff Survey Mission," John H. Sullivan, Staff Consultant, House Committee on International Relations 173

Discussion 186

"The Freedom of Information Act," William G. Philips, former Staff Director Foreign Operations and Government Information Subcommittee, House Committee on Government Operations . . . 188

Discussion 205

"Congressional Committee Case Studies: Studies in Public Welfare," Alair A. Townsend, former Research Director of the Subcommittee on Fiscal Policy, Joint Economic Committee . . 206

Discussion 223

"Policy Formation Through Program Evaluation and Systems Analysis: A Congressional View," James W. Giltmier, Senate Committee on Agriculture and Forestry 224

Discussion 243

TABLE OF CONTENTS (Cont.)

Page

Day III: Executive Branch Evaluations and the Processes of Evaluation: Summary of Proceedings 245

"Federal Program Evaluation: The Perspective from OMB," a paper prepared for the American Political Science Association by Clifford W. Graves and Stefan A. Halper, used as a basis for remarks presented by Clifford W. Graves, Deputy Associate Director for Evaluation and Program Implementation, Associate Director for Management and Operations, Office of Management and Budget 258

Discussion 275

"Current Evaluation Activities in the General Accounting Office," Keith E. Marvin, Associate Director, Financial and General Management Studies Division, General Accounting Office 277

Discussion 287

"Practical Application of Evaluation in Legislative Processes," William H. Foskett, as consultant to Sen. Bill Brock 288

Discussion 302

"The State of the Art of Program Evaluation," Clark Abt, President, ABT Associates 303

"Evaluating Education Programs---Are We Getting Anywhere?" Article prepared by John W. Evans, used as a basis for remarks by John W. Evans, Assistant Associate Commissioner, Office of Education 333

Discussion 340

"Evaluating Evaluation: A Congressional Perspective," Allen Schick, Congressional Research Service 341

APPENDIX

A. Oversight Plans of the Committees of the U.S. House of Representatives, A report by the Committee on Government Operations, 1975------355

B. Overview of Federal Agency Program Evaluation Activities: Joint Inquiry by the Office of Management and Budget and the General Accounting Office----------436

C. Selected General Accounting Office Reports Involving Program Evaluation----------457

D. Program Evaluation: A Manual for Legislators and Legislative Staffs, Draft of January 1975, prepared by William H. Foskett, and Harrison W. Fox, Jr., for Sen. Bill Brock, (Tennessee)--------464

E. Program Evaluation: Emerging Issues of Possible Legislative Concern Relating to the Conduct and Use of Evaluation in the Congress and the Executive Branch, Multilith, Congressional Research Service, November 16, 1974----------499

F. Evaluations of Manpower Training Programs: Selected References, 1970-1974, Multilith, Congressional Research Service, October 25, 1974.----------583

G. Evaluation Research in Public Administration: Selected References, 1967-1974, Multilith, Congressional Research Service, October 21, 1974.----------593

H. Evaluation Research in Social Policy: Selected References, 1970-1974, Multilith, Congressional Research Service, October 31, 1974 603

I. Evaluation Research and Its Application to Health Programs: Selected References, 1970-1974, Multilith, Congressional Research Service, February 24, 1975----------615

J. Evaluation of Public Welfare Programs: Selected References, 1970-1974, Multilith, Congressional Research Service, April 8, 1975. 633

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Congressional Research Service

WASHINGTON, D.C. 20540

The Honorable
Sam Nunn
Chairman, Subcommittee on Oversight
Procedures
Committee on Government Operations
United States Senate
Carroll Arms Hotel -- Room 502
Washington, D. C. 20510

Dear Mr. Chairman:

I am pleased to transmit this material which you requested us to prepare for possible publication as a committee print. The document, "Legislative Oversight and Evaluation: Proceedings of a Seminar Sponsored by the Congressional Research Service, May 1975," contains the proceedings of the seminar series held on May 5, 12, and 19, 1975.

As you will recall, the series was requested by Senator Lee Metcalf, Chairman of the Government Operations Subcommittee on Reports, Accounting, and Management and Vice Chairman of the Joint Committee on Congressional Operations, and by Senator Bill Brock, Ranking Minority Member of the Subcommittee on Reports, Accounting, and Management of the Government Operations Committee.

Following the seminar, we received your request to prepare the proceedings for possible publication. You noted that "...the Subcommittee is planning to publish a series of documents and prints on oversight and evaluation for legislative staff orientation and reference purposes. The publication of the seminar series proceedings in committee print form would be a valuable contribution to the Subcommittee's program of improving information and knowledge about legislative oversight and evaluation."

As requested by your staff we have prepared a brief summary of the main themes of the seminar series. A more detailed summary of each of the three sessions precedes the actual papers and discussion for that session. We have also included appendix materials that speakers distributed at the meetings to illustrate their oversight and evaluation activities.

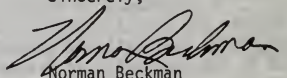
We should like to acknowledge the participation of the many persons who cooperated with us in presenting the seminar, delivering papers, and preparing the proceedings. The Oversight Procedures Subcommittee staff and the staff of the Subcommittee on Reports, Accounting

and Management deserve special thanks. We should also like to acknowledge the assistance given by the speakers for their work in preparing and delivering their presentations and in some cases editing them for publication. Representatives of the General Accounting Office also merit particular mention for their assistance in planning the seminar as well as taking part in it.

Staff members of several Divisions of the Congressional Research Service -- in particular, Genevieve J. Knezo of the Science Policy Research Division -- cooperated in developing the agenda for the meetings. Gary Evans of the CRS Office of Special Programs was the coordinator for the seminar series. The proceedings were assembled and summarized by Ms. Knezo with the cooperation of Mr. Evans and of members of the Science Policy Research Division. The project as a whole was carried out under the joint direction of myself and Warren Johnston, Chief of the CRS Office of Special Programs.

We have been pleased to undertake this project. We hope the proceedings will be of value to you and your staff.

Sincerely,



Norman Beckman
Acting Director

INTRODUCTION

A. Purpose and Scope of the Seminar

On May 5, 12, and 19, 1975, the Congressional Research Service sponsored a three-day seminar series on legislative oversight and program evaluation. The Service held the series at the request of Senator Lee Metcalf, Chairman of the Senate Government Operations Subcommittee on Reports, Accounting, and Management, and Senator Bill Brock, Ranking Minority Member of that Subcommittee. The series had two purposes. The first was to acquaint legislative staff who have responsibilities or interest in legislative oversight and program evaluation with current requirements, processes, and resources for oversight and evaluation. The second was to provide a forum for discussing problems that staff might encounter in conducting oversight and in doing or using evaluation research.

Speakers at the meetings consisted of committee staff; members of the staff of the General Accounting Office (GAO), Congressional Research Service (CRS), and Office of Technology Assessment (OTA); officials from the Office of Management and Budget and the Office of Education; and nongovernmental specialists.

An average of 75 persons attended each of the three all afternoon sessions. They were committee and member staff aides, staff of congressional support agencies such as the CRS, GAO, and OTA, and staff of the executive branch and nongovernmental evaluation research communities.

Shortly after the series ended, Senator Sam Nunn, Chairman of the Subcommittee on Oversight Procedures of the Senate Committee on Government Operations asked the CRS to prepare the proceedings of

the seminar for publication. The two objectives of the publication would be: (1) to summarize the major issues and preserve the proceedings for the benefit of those legislative staff unable to attend the meetings, and (2) to compile a comprehensive resource document on the topic of oversight and evaluation. 1/

The proceedings consist of this introduction; a summary of major themes raised during the series; the papers presented each day, preceded by a summary of the day's proceedings; and appendix materials consisting of documents speakers used to illustrate their activities.

The papers are presented in the order in which they were given. The meeting was not recorded; therefore highlights of discussions which follow the papers are based on notes taken during the meetings.

B. The Context of Evaluation and Oversight

The current period of increasing budgetary restraints and competing claims on scarce Federal resources, coupled with an increasing proliferation of Federal benefit programs, has created a climate conducive to the adoption of better methods of program planning, management, and oversight. During recent years the agencies of the executive branch have instituted several important reforms to improve the efficiency and efficacy of Federal spending. These include both modified and new administrative arrangements, and development of new

1/ Senator Nunn indicated that this document would be one part of a series that the Subcommittee on Oversight Procedures expected to publish on the topic of improving resources and techniques of oversight. Another volume planned in the series would include analytical essays on oversight and evaluation.

decisionmaking and policy analysis techniques. Technical reforms are seen in the adoption of such techniques as: Management by Objectives (MBO), program evaluation, cost/benefit analysis, and cost/effectiveness analysis. However, these new techniques are constrained by some of the same limitations which plagued their 1960s precursors, PPBS and systems analysis. These include: (1) unrealistic expectations of analytical tools and techniques, whose imprecision and relatively unsophisticated level of development hamper the generation of wholly valid and reliable information; (2) inadequacies of data collection and generation procedures which may vitiate the utility of tight analytical and conceptual schemes; and (3) imprecise understanding of the contribution of quantitative analytical information to governmental and political decisionmaking.

During 1972, Senator William V. Roth of Delaware undertook a study of Federal evaluation practices. The conclusion of this study underscored the need for better analysis and evaluation of Federal programs, and, at the same time, identified many of the problems which hamper effective analysis and evaluation. One of the paragraphs of the study summarizes, for both decisionmakers and analysts, the limitations and ambiguities of much analysis:

> The use of analytical techniques is subject to a number of dangerous distortions. These include over-objectification, oversystemization, and use for advocacy by program managers and political executives. We must keep in mind that it is especially difficult to gauge whether social programs are successful. These programs necessarily have multiple goals which in their ultimate form are very hard to measure. Further I think we

> need to guard against the erection of complicated formal structures of analysis which have no impact on decisionmaking. 2/

Subsequently, in commenting on this study as well as on its own commissioned studies in the area, the Joint Economic Committee identified another problem which hampers the utility of quantitative evaluation and analysis: that is the fact that political decisionmaking in a democracy must include a number of different and sometimes conflicting types of information. Systematically generated analytical information is only one type of information politicians use in making decisions:

> Analysis can provide an important and helpful tool for making decisions, but it is no more than a tool. Problems involving social policy and value judgments must be considered and weighed in conjunction with the results of benefit-cost analysis, and the final decision made by the human policymaker. 3/

Despite these limitations, attempts to improve the conduct and utility of analysis and evaluation have continued unabated in recent years. This is evidenced by several types of events. First, academics, extramural policy researchers and analysts, and evaluators, either singly or in conjunction with governmental officials, have continued to discuss the issues --- raising the level of awareness and debate about the conduct and utility of quantitative analytical

2/ Report on A Survey of Federal Program Evaluation Practices. By Hon. William V. Roth, Jr., a U.S. Senator from the State of Delaware, pp. 1-52 in U.S. Congress, Joint Economic Committee, Benefit-cost Analysis of Federal Programs. A compendium of papers submitted to the Subcommittee on Priorities and Economy in Government. 92d Cong., 2d sess. January 2, 1973, Washington, U.S. Govt. Print. Off., 1973, p. quoted on p. 53. (Joint committee print.)

3/ Benefit-Cost Analysis of Federal Programs, op. cit., p. 54.

techniques, especially those which are based on the methods of the social sciences. 4/

Second, the executive and legislative branches' principal fiscal oversight agencies, the Office of Management and Budget and the General Accounting Office, have considerably increased their efforts to improve the management, conduct, utility, and understanding of the analysis and evaluation research enterprise. Both of these agencies, as indicated in the discussions below, have undertaken a number of activities to develop policies to govern the evaluation research process; to improve legislative language for evaluation, and to forge better links between evaluation and budgeting. GAO in addition has special responsibilities for evaluation under the Congressional Budget and Impoundment Control Act of 1974, P.L. 93-344.

4/ There are numerous documents on this subject. Some of the more recent and general treatments are:

(1) Beckman, Norman and Harold Handerson, eds. New Directions in Public Administration. Proceedings of "Opposing Forces in Public Administration," The Fifth Annual Conference of the National Capital Area Chapter of the American Society for Public Administration, November 14-15, 1974. Reston, Virginia, The Bureaucrat, Inc., 1975: Part II. "Program Evaluation: Does It Improve Public Policies and Administration?", pp. 58-98.

(2) Lyons, Gene M., ed. Social Research and Public Policies. The Dartmouth/OECD Conference. Dartmouth, The Public Affairs Center, 1975. 206 p. See especially Part II, Social Experiments, pp. 87-140 and "Part III, Evaluation Research," pp. 141-205.

(3) Knezo, Genevieve J. Program Evaluation: Emerging Issues of Possible Legislative Concern Relating to the Conduct and Use of Evaluation in the Congress and the Executive Branch. Multilith, Science Policy Research Division, Congressional Research Service, Library of Congress, Nov. 16, 1974. 79 p. (75-35 SP.)

Third, and undoubtedly most important, the Congress itself has adopted several recent measures to improve the conduct of evaluation and oversight and to better link program planning, budgeting, evaluation, and oversight. These activities include: (1) passage of the Legislative Reorganization Act of 1970, which strengthened the policy analysis and information capabilities of the Congressional Research Service, called upon the General Accounting Office to make available to all members and committees of the House and Senate lists of GAO reports and when requested the reports themselves, and required the preparation of biennial committee reviews of legislative activities; (2) passage of the House Committee Reform Amendments of 1974, H. Res. 988, which enlarged oversight responsibilities of standing committees, especially of the House Government Operations Committee; and (3) passage of the Congressional Budget and Impoundment Control Act of 1974, P.L. 93-344, which authorized committees to conduct or make use of evaluation and augmented GAO's capability to aid committees in conducting evaluation and in writing requirements and legislative language for evaluation. Other related activities include: creation of the House Information Systems Group, which provides members and staff with access to models and data useful for evaluation purposes; creation of the Office of Technology Assessment, to provide the Congress with unbiased information and analysis regarding the positive and negative impacts of technological applications; creation of functionally distinct oversight committees in the Senate Committee on Government Operations; and a study of the need to revamp the Senate committee structure. Informal activities along these lines, including several sponsored by Senator Bill Brock, consist of a monthly seminar for legislative staff on program evaluation, and preparation of a draft manual on program evaluation concepts and techniques to assist

legislative staff who have responsibilities for writing requirements for evaluation into new legislation.

As recently as five years ago, evaluation units in the Federal Government were rare. Today they are widespread, 5/ and by the latest OMB account, Federal agencies, exclusive of the Departments of Defense and Treasury, are responsible for spending almost $120 million annually for evaluation research studies. 6/ Evaluation research is a relatively new management and policy research tool, widely used, but as evidenced in the CRS seminar and in other forums, beset with the problems which accompany any new decisionmaking technique. These problems cannot be solved without considerable effort by both evaluation performers and users. In concluding the November 1974 American Society for Public Administration seminar on evaluation research, Keith E. Marvin of the General Accounting Office noted in this respect: ". . .Despite the continued existence of some basic problems and questions concerning evaluation work, there will be more such activity at both the agency and the legislative staff level in the future. What is accomplished will become at least as important as how well." 7/

5/ Lafayett, David P., et. al. "Federal Department and Agency Experiences Using Program Evaluation." In Beckman, New Directions in Public Administration: The Federal View, op. cit., p. 69.

6/ U.S. Office of Management and Budget. Evaluation and Program Implementation Division. Survey of Federal Evaluation Activities, Sept. 1975. Washington, U.S. Govt. Print. Off., 1975. 246 p.

7/ "Program Evaluation: Does It Improve Public Policies and Administration: Summary of Panel and Floor Discussions." In Beckman, New Directions in Public Administration: The Federal View, op. cit., p. 97.

The CRS seminar on Legislative Oversight and Program Evaluation was designed to provide a forum for identifying and discussing some of the major issues surrounding evaluation and oversight, especially in relation to the responsibilities of legislative staff. The seminar addressed topics of both production and implementation, such as methodology, data, funding level, procurement, type of contractor, training, timing of evaluation, intelligibility of reports, and use of qualitative and quantitative evaluation information in legislative decision-making and oversight. Neither the summary which follows nor the seminar were designed to resolve issues regarding evaluation and oversight, but to raise the level of awareness and debate on the issues as a modest step toward improving the efficiency and efficacy of Government.

SUMMARY OF THE MAIN THEMES OF THE SEMINAR SERIES ON "LEGISLATIVE OVERSIGHT AND PROGRAM EVALUATION," MAY 1975

A. The Scope and Agenda of the CRS Seminar on Legislative Oversight and Program Evaluation

Each seminar session was organized around a separate theme. The first afternoon's presentations overviewed general responsibilities and resources for oversight and evaluation. House and Senate Government Operations Committee staff, as well as staff from GAO, CRS, and OTA, made presentations and assisted in answering questions.

Congressional committee experiences in conducting evaluations or using secondary policy analyses or evaluations done by congressional support agencies, or quantitative analytical evaluation research reports performed by or for executive agencies, formed the theme of the second seminar session. The substantive issues addressed were oversight and evaluation of foreign policy, by the House Committee on International Relations; implementation of the Freedom of Information Act by the Subcommittee on Foreign Operations and Government Information of the House Committee on Government Operations; examination of the Joint Economic Committee's extensive investigations and studies of public welfare; and committee evaluation and oversight by the Senate Committee on Agriculture and Forestry of the Farmers Home Administration and other agricultural programs.

The third seminar session had a double theme: (1) the state-of-the-art of evaluation and (2) executive branch evaluation activities. Speakers addressed the pros and cons of various evaluation research methods; efforts to enhance oversight of federally funded evaluation research; and efforts of the GAO and Office of Management and Budget

to refine executive agency evaluation units and processes. Two members of Senator Brock's staff described their monthly evaluation seminar for legislative staff and their manual on evaluation, for legislative users. The agenda also included a case study of evaluation in the Office of Education, and a presentation by an expert on evaluation research methodology.

B. Introduction to Oversight

Walter Oleszek of the Congressional Research Service defined oversight as the exceedingly complex process of determining whether executive agencies carry out programs as the Congress intended. He said that in the past, the Congress had experienced difficulties in conducting effective oversight. These difficulties were attributable to several factors, including:

- a lack of staff with time for oversight, since most staff efforts had to be used to write new legislation;

- a tendency to avoid formal in-depth oversight because of the advocacy relationships which might have developed between some committees and the agencies they oversee; and

- a lack of established procedures for cooperation between Government Operations Committees and authorizing committees in sharing oversight information. 8/ Other speakers also identified potential obstacles to effective evaluation. These included: a reluctance on the part of some Federal agencies to doing evaluation research whose results might ultimately

8/ Oleszek, Walter. "Congressional Oversight, A Review of Recent Legislative Actions," Day 1.

affect agency budgets and staff size; 9/ and difficulties both in determining which evaluation techniques most appropriately answer oversight questions and in pinpointing policy options that evaluation and oversight studies might generate. 10/

C. Types of Oversight

There was an implied consensus about several different types of oversight and techniques which can be used to support these activities. Walter Oleszek differentiated among three types of oversight. "Legislative oversight" is done by authorizing committees to determine whether agencies have properly implemented programs under their jurisdiction. "Fiscal oversight," primarily a function of the Appropriations Committees, scrutinizes Federal spending. "Investigative oversight," until recently a responsibility primarily of the House and Senate Government Operations Committees, examines programs which cut across agency and congressional committee jurisdictions. A committee staff member added definitions for other more specific and "operational" types of congressional oversight. "Routine oversight" consists of daily monitoring of Federal agency regulations to determine whether the agency is following the intent of the law.

9/ See especially papers and discussions of: Giltmier, James W. "Policy Formation Through Program Evaluation and Systems Analysis: A Congressional View," Day 2; and Schick, Allen, "Evaluating Evaluation: A Congressional Perspective," Day 3.

10/ See especially Knezo, Genevieve J., "Program Evaluation Concepts." On policy options related to evaluation, especially the need for "decision-driven evaluation," see Graves, Clifford W., remarks based on Federal Program Evaluation: The Perspective From OMB," Day 3; and Abt, Clark C. "The State of the Art of Program Evaluation," Day 3.

"Special oversight," like investigative oversight, involves special in-depth investigation of a high priority area which might result in the need for corrective legislative action. "Guerilla oversight" consists of spot-checking, in a one day hearing, where adversary proceedings can lead to corrective action by an agency, but without legislative enactment or amendment. 11/

D. Types of Evaluation Research

Federal agency administrators generally conduct or contract for one of two types of quantitative evaluation studies: process evaluations or impact evaluations. These are done at the request of the Congress or for the agency's own management purposes. These types of evaluation are used for different purposes and are grounded in different types of techniques. Process evaluations are used to answer management questions. Generally process evaluations use non-experimental evaluation techniques and data generated in the normal course of administering and monitoring a program. These types of evaluation are far less costly and require far less time to do than do impact evaluations. Impact evaluations answer questions about whether a program caused a change in attitude or behavior in the participants or targets of a program. Impact evaluations are more difficult to do than process evaluations. Generally they require experimental research techniques and randomized test and control groups.

11/ Remarks of Phillips, William G. "The Freedom of Information Act," Day 2.

New and costly data collection procedures must be built into a program, usually in the program authorization stage, to meet the requirements of impact evaluation. 12/

E. Scope and Limitations of Evaluation Research for Legislative Oversight

It was noted that impact and process evaluation are useful for many types of legislative oversight -- but most especially for those types dealing with program formulation and amendment. 13/ However, most speakers seemed to agree that information generated using any one specific evaluation technique constitutes only one type of information that members use in making political decisions. On this point, Clark Abt, emphasized: "What we cannot do with program evaluation is create new programs, make decisions, make the assumption of rationality come true, and get users or consumers of program evaluations to ask the right questions. We also cannot make value judgments that have any credibility where these are decisive program decisions." 14/

However, the point was made repeatedly that many evaluation research studies are done improperly, as a result they fail to yield information useful for decisionmaking. Several factors contribute to this situation.

12/ See Knezo, op. cit. Abt, op. cit., elaborated upon these themes.

13/ Foskett, William H. "Practical Application of Evaluation in Legislative Processes," Day 3.

14/ Abt, op. cit., Day 3.

First, the need to represent different political viewpoints usually produces broad or ambiguous statements of legislative program goals. As a result evaluators have only imprecise yardsticks against which to measure program or agency accomplishments. 15/

Second, evaluation researchers and program managers often lack awareness of the questions that evaluation and oversight can and cannot answer and the proper techniques to use to answer these questions. Legislative staff are not always aware of these issues. 16/

In relation to this issue, Allen Schick suggested that the Congress should be wary of getting directly into the business of carrying out program evaluations. His rationale was that legislative oversight is not analogous to program oversight, which requires specialized evaluation techniques and should be a responsibility primarily of the Federal agencies which administer programs. 17/

Several legislative staff speakers, however, emphasized the need for legislative program evaluation. A few gave illustrations of committees conducting, monitoring, or using evaluations. They pointed out that Title Seven of the Congressional Budget and Impoundment Control Act, P.L. 93-344, authorizes committees to conduct, contract for, or request executive agencies to do evaluations. It was also noted that executive agencies are increasingly calling for the conduct of evaluation research. A recent

15/ See especially remarks of Little, Dennis L. "Ask the Right Questions," Day 1, and Abt, and Oleszek, op. cit.

16/ See presentations of Foskett, op. cit., and Abt, op. cit., especially.

17/ Remarks of Schick, op. cit., Day 3.

General Accounting Office study, for instance, demonstrated the federally funded program evaluation research studies cost at least $130 million in the Fiscal Year 1974. It was also noted that because of the Budgeting Act and increased oversight responsibilities in the House, committees are increasingly writing legislative requirements for program evaluation into bills authorizing new programs -- requiring staff to be intimately familiar with the promises and perils, methods, and utility of different types of program evaluation research studies.

There was general agreement that the Congress has limited resources, cannot and does not desire to compete with or duplicate the information gathering and analysis capabilities of the executive branch, and has oversight information requirements different from the information requirements of Federal executive agencies which administer programs. Therefore, committee staff with responsibilities for oversight and evaluation might be more selective in:

- determining priorities for oversight and evaluation, and
- using their own staff or the staff of the auxiliary legislative information and analysis support bodies, as well as the staff of Federal agencies, to review existing literature to determine if there already is information available to assist in developing priorities for evaluation and oversight.

F. Illustrations of Committee Oversight and Evaluation Activities

The case studies of oversight and evaluation presented during the seminar illustrated a variety of qualitative and quantitative information gathering and analysis techniques available to committee and requirements for their successful use.

Dr. Alair Townsend, a former staff member of the Subcommittee on Fiscal Policy of the Joint Economic Committee discussed a particularly comprehensive oversight activity. In its role as an investigative committee serving both the House and the Senate, the Joint Economic Committee conducted a series of studies and hearings to assess both process (management) and impact (program effectiveness) issues relating to the Family Assistance Plan. To do this adequately, however, the Committee had to assess the Family Assistance Plan in the context of all income assistance programs. A series of committee prints dealing with these topics was prepared by in-house staff, outside contractors, staff of Federal agencies, and legislative support agencies, such as the Congressional Research Service and the General Accounting Office.

Several important observations were made about requirements for the conduct of studies of this nature. First among these was the need for a highly trained committee staff to monitor closely the work of congressional support agencies and outside contractors. This is necessary to keep the work on schedule, and, perhaps more important to insure that it conforms to a legislative decisionmaker's needs. This type of monitoring is indispensable in the case of certain outside contractors, for example those social scientists who tend to use Federal research monies more to train students and to produce basic or applied research valued by their peers than to produce research useful to policymakers. Close monitoring of outside contractors is required also to insure that reports are not too laden with academic jargon. 18/

18/ See remarks and discussion following the presentation of Townsend, Alair A. "Congressional Committee Case Studies: Studies in Public Welfare," Day 2.

John H. Sullivan illustrated another unique legislative oversight device in his presentation describing some of the oversight activities of the House Committee on International Relations and the Senate Committee on Foreign Relations. These committees use overseas field staff visits by highly trained committee staff investigators. One of the principal advantages of this method of information gathering is that it generates information that can rarely be obtained any other way. It is also one of the most direct means of supplying oversight information because research is done by staff members who have the trust, confidence, contact, and rapport with members required to insure ready access to policymaking. However, effective overseas field visits also require that staff be highly trained and conduct visits in pairs to corroborate verbal evidence which executive officials might deny later if called to testify. 19/

Various other oversight and evaluation techniques were described in the case studies presented during the second day of the seminar. These included the conduct of program evaluation research by staff of the Senate Committee on Agriculture and Forestry, the use of public opinions polls by the Senate Committee on Government Operations to obtain information for investigative oversight in the area of intergovernmental relations, and the relevance to congressional oversight of the subpoena power, as described by staff of the Senate Committee on Government Operations.

19/ See remarks and discussions of presentation by Sullivan, John H. "Foreign Affairs Oversight," Day 2.

G. Use of Congressional Support Agencies

Several illustrations were given of instances where committees used a variety of support services provided by the Congressional Research Service, the General Accounting Office and the Office of Technology Assessment to assist in oversight and evaluation. They included, for example, assessment by the CRS of the quality and extent of use of executive branch reports to Congress as required in foreign affairs legislation; the use of the CRS to analyze agency responses to a committee questionnaire on implementation of the Freedom of Information Act; and the use of the Service in preparing analytical reports on the Family Assistance Program. Because of its long history in doing auditing and oversight work for the Congress, the General Accounting Office was frequently cited as a useful information and analysis source. Instances of GAO assistance ranged from illustrations of its aid in overseas investigations to assistance in evaluating the Farmers Home Administration.

It was indicated, however, that there are constraints on the use of these legislative support resources similar to the limitations on the use of other outside evaluation resources. These constraints consist primarily of the need for close committee staff monitoring to insure that research is done in terms and in time-frame relevant to decisionmakers. 20/

1. Office of Technology Assessment. Dr. Gary Thomas of the Office of Technology Assessment noted that the OTA has adopted a policy of interfacing closely with committee staff, not only to receive suggestions for assessment topics but also to help design research appropriate to

20/ See papers of end discussions following the papers of Giltmier, op. cit., and Townsend, op. cit.

legislative needs. The OTA ensures this interface by providing requesting committees with periodic, sometimes monthly, progress reports from contractors during the course of a technology assessment to assist if necessary in meeting any immediate legislative decisionmaking needs. Also in support of this objective the OTA has begun to do mini-assessments or exploratory assessments in addition to the longer-range studies it usually funds. Mini-assessments have either one of two purposes: (1) to determine whether a more in-depth assessment may indeed be required; or (2) to do a short two-week inhouse study to meet members' immediate information needs. Such a study was done recently to assist members in reviewing the budget of the Energy Research and Development Agency, ERDA. 21/

2. Congressional Research Service. The basic authority for the Congressional Research Service to support legislative oversight and program evaluation comes from the Legislative Reorganization Act of 1970. The CRS provides several different types of support to fulfill its responsibilities. Among those described at the seminar were: policy analysis reports, reports dealing with terminating issues and emerging issues; seminars on important public policy issues; the preparation of issue briefs; formation of a futures group; and refinement of automated information systems capabilities including bibliographic citations by subject, bill

21/ See presentation of, and discussion following, Thomas, Gary, "The Office of Technology Assessment: A Description of the Office's Objectives and Activities," Day 1.

digests, access to technical information and bibliographic data bases including MEDLARS, MEDLINE, and legal codes and econometric models. 22/

3. The General Accounting Office. The General Accounting Office recently instituted several activities intended to improve its oversight and evaluation support capabilities. These include, for example, plans to establish a Congressional Information Services Group to coordinate and help standardize social program information required for evaluation and to improve Congress' and GAO's capabilities to do and use program evaluations as required under the provisions of P.L. 93-344. In addition, the agency is preparing an inventory of evaluation studies done for Federal agencies as well as developing methodological criteria and standards, and legislative language formats for committees to assist them in making the tradeoffs required between different types of evaluation strategies in relation to specific evaluation decisionmaking needs. 23/

Some discussion was given to potential limitations on the use of the General Accounting Office in assisting with legislative evaluation and oversight. First, it was noted that Federal agency administrators tend to be less cooperative and informative with GAO staff than with committee staff. This occurs, one staff person said, because Federal

22/ See the following papers: Beckman, Norman, "Congressional Research Service: Resources for Oversight and Evaluation," Day 1; Gushee, David E. "The Service's Responsibilities for Emerging Issues and Terminating Programs," Day 1; and Collier, Ellen C. "Monitoring Reports to Congress Required by Law," Day 1.

23/ See presentations and discussions following: Oliver, James P. "Remarks on the General Accounting Office," Day 1; and Marvin, Keith E., "Current Evaluation Activities in the General Accounting Office," Day 3. GAO's report on methodological standards was published as: U.S. General Accounting Office. Exposure Draft: Evaluation and Analysis to Support Decisionmaking. December 9, 1975 52 p. (OPA076-9).

administrators attribute less power to GAO staff than to committee staff. It was also noted that sometimes there is a long "turnaround" time for the completion of some GAO reports, which may take a year to complete and often require a time-consuming seven-step review process. In response, agency and legislative staff noted, the GAO has begun to institute informal reporting procedures which reduce the review time and provide staff with copies of draft reports. However, it was also noted that staff sometimes use these reports as if they were the final version of a study, thereby jeopardizing the integrity of the oversight process. 24/ It was also pointed out that some GAO reports customarily result from statutory requirements enacted in the past. As a result the GAO might not always have resources available to prepare reports on new issues currently before the Congress. 25/

H. Evaluation in Executive Agencies

Several of the speakers described problems in the conduct and use of Federally funded evaluation studies. For instance, one committee staff person noted that Federal agencies frequently refuse to release evaluation reports to the Congress. It was also remarked that some agency administrators tend to avoid objective evaluation because they are the captive of their programs and would like to believe that programs are indeed benefiting clients. Several speakers noted that often in the past neither administrators nor some members of Congress wanted evidence to demonstrate that a program might be ineffective. The

24/ Discussions and papers, Day 2, especially Giltmier, op. cit.

25/ Idem.

gravity of this situation is compounded by the fact that most evaluations are done on new, innovative social programs, not on long established programs which may profit more from good evaluation, but which may be more costly in terms of possible bureaucratic retrenchment. 26/

Some discussion focused on the issue of properly institutionalizing the locus of performance of evaluation within an agency to enhance its use. One speaker suggested that agencies should separate evaluation from budgeting, because agencies usually try to maximize their budgets and retain programs. Therefore, the possibly useful adversarial nature of some evaluation is submerged to other interests. This speaker also suggested that evaluation might be performed best in a separate inspector general office within an agency due to its critical adversary nature. 27/ However, others submitted variants on these recommendations. For instance, one staff person suggested that evaluation would be used more effectively if it were sponsored by an agency attached to the Office of the Secretary of a Department. John Evans described a variant used in the Office of Education: the project manager for an evaluation reads the study, analyzes its policy implications, and sends a memo to OMB, via the Commissioner of Education, identifying the policy implications. 28/ Several speakers agreed in principle with this comment, noting that agencies and legislative

26/ See presentations and discussions if any, following the presentations of Giltmier, op. cit., Day 1, Phillips, op. cit., Day 2, Oleszek, op. cit., Day 1, and Schick, op. cit., Day 3.

27/ Schick, op. cit., Day 3.

28/ See discussion following and paper of Evans, John, Remarks based on "Evaluating Education Programs -- Are We Getting Anywhere?" Day 3.

staff should make a special effort to assure the conduct of "decision-driven" evaluations, which are designed specifically to generate information for policymaking. 29/ All generally agreed that agencies should strive to improve the development of more useful evaluation report dissemination mechanisms, both within agencies and to the public.

With respect to the development of better policies to govern evaluation research, it was noted that the GAO and the OMB are doing a joint study to collect information about evaluation research in the executive branch, including an inventory of funding for evaluation, purposes of the evaluation report, and identification of the offices supporting such work. The OMB is also undertaking several activities to improve the conduct of evaluations within agencies. These include an assessment of the uses of agency evaluations, an assessment of evaluation training needs, and publication of a technical manual on evaluation management systems. 30/

I. Methodological Needs

Clark Abt raised several points about how the Congress and agencies might improve the methodological sophistication of evaluation research. In summary, these were: more training for evaluation researchers; Federal sponsorship of more cross-cutting evaluations, which attempt to assess program impacts in a variety of geographic locations and demographic

29/ See especially statements of Graves, op. cit., Day 3 and Abt, op. cit., Day 3.

30/ An illustration of one OMB report of this nature is: Survey of Federal Evaluation Activities. By Evaluation and Program Implementation Division, Office of Management and Budget. September 1975. 246 p.

groups; better Federal agency preparation of requests for proposals (RFPs); and improved Federal specification of program goals, policy options, or information needs that evaluation can support. 31/

J. Evaluation Requirements

Clifford Graves, Deputy Associate Director, Evaluation and Program Implementation Division of the Office of Management and Budget, summed up in his oral remarks the difficulties the Congress faces in using or contracting for evaluations. He noted that an OMB assessment of Federal agency evaluations indicated that evaluations generally are untimely, inaccurate, and irrelevant for decisionmaking. 32/

In this respect, several speakers, including executive officials and contractors as well as committee staff people who have used evaluations or who have been instrumental in heightening legislative staff awareness of the scope and limitations of program evaluation, outlined points that congressional staff might consider when doing or using evaluations or writing legislative language requiring evaluation for oversight purposes. These points may be summarized as follows. Staff might consider the needs to:

- Set priorities for doing evaluations. In addition, staff or contractors should be encouraged to review existing evaluation literature to see if studies have already been done on the same or related programs.

31/ Abt, op. cit., Day 3.

32/ Graves, op. cit., Day 3.

Doing so is necessary to help formulate questions, to review the state of the art of evaluation methods, and to determine what kind of evaluation is needed. It also helps to encourage fiscal responsibility. Staff might also seek evaluations of past program enactments, which consume considerable Federal expenditures, as opposed only to new program enactments.

- Develop appropriate statements of agency or program goals to assist in developing language for later evaluation efforts. This may be a potentially troublesome problem, since legislators frequently use vague or ambiguous statements of program objectives for the sake of political compromise. Sometimes vague statements of program goals hamper effective evaluation because evaluators are left with imprecise yardsticks against which to compare actual program effectiveness and accomplishment.

- Determine whether a process or an impact evaluation is required. This is an important consideration that must account for the following factors: what are the questions which decisionmakers want answered about the program? Are they mainly questions regarding program management, or are they questions regarding the actual effects or impacts of the program on its intended objects? When do the decisionmakers need these answers? Are decisionmakers willing to endure the possible political side-effects of impact evaluations or experimental evaluations required to answer cause and effect questions? Tradeoffs must be made among all these factors.

- Be aware of the possible policy options available to legislators which might result from evaluations, and write legislative language for evaluation which is designed specifically to support the generation of

information and analysis relevant to those policy options which are available. It was noted in this respect that the General Accounting Office is now surveying Federal statutes which require evaluation to develop standards adequate for generating appropriate legislative language for evaluation.

- Determine the amount of lead-time available for evaluation in relation to possible decisionmaking options. It should be remembered that more time is required for the conduct of complex, longitudinal, quantitative evaluations of ongoing programs than for qualitative or non-longitudinal evaluations.

- Recognize that impact evaluations usually cannot employ data collected in the normal course of monitoring a program. If impact evaluations are required, the legislative language for evaluation might include the requirement of developing appropriate new data systems, as well as authorization for funding of these systems. However, staff should be aware of the possible disadvantages of such data collection procedures, including invasion of privacy and the ethical issues of experimentation with human beings.

- Monitor very closely the conduct of evaluation, whether by inhouse staff, a congressional support agency, or an executive branch agency, to insure that evaluation reports generate information and analysis to answer the questions that legislative decisionmakers want answered about the program.

- Develop appropriate ways to disseminate information to members and require that summary evaluations reports for members be readable, short, and free of jargon.

- Increase efforts to insure that evaluation information is used in authorization and appropriations processes and in Federal agency decisionmaking processes.

DAY I: OVERVIEW OF RESPONSIBILITIES AND RESOURCES FOR LEGISLATIVE OVERSIGHT AND PROGRAM EVALUATION: SUMMARY OF PROCEEDINGS

The material presented at the first day's seminar on the topic of general responsibilities and resources for legislative oversight and program evaluation set the theme and tone for succeeding discussions. In summary, oversight and evaluation do not consist of one immutable process applicable to all legislative decisionmaking needs. The purposes, techniques, and resources of oversight and evaluation differ considerably depending upon a decisionmaker's needs, and related to these, tradeoffs staff have to make among available evaluation resources, types of programsbeing assessed, and lead-time available for information gathering and assessment. However, it was stressed during the first day's meeting and throughout the seminar that executive and legislative staff sometimes do not give enough attention to determining how particular evaluation techniques can generate information appropriate to decisionmaking needs, especially with respect to evaluations mandated by the Congress. This lack of attention can result in needless and wasted research expenditu

The first day's meeting was divided into two parts: first, responsibilities and needs for oversight and evaluation; and second, resources for oversight and evaluation.

A. Legislative Responsibilities and Needs for Oversight and Evaluation

Mr. Lester S. Jayson, Director of the Congressional Research Service, opened the meeting by describing the importance to the legislative process of an exploratory seminar on oversight and evaluation. Then he described the agenda for the series, indicating that statements would be made by executive branch officials, evaluation contractors, and legislative staff, from both committee and congressional information and analysis support agencies.

1. Scope and Limitations of Legislative Oversight. Walter Oleszek, of the Government Division of the Congressional Research Service, presented the keynote paper on the first part of the seminar theme, legislative oversight. He defined oversight as the exceedingly complex process of determining whether executive agencies carry out programs as the Congress intended. Three types of oversight can be distinguished: legislative, fiscal, and investigative.

Mr. Oleszek noted that the Congress has encountered innumerable problems in doing oversight. Chief among these have been (1) imprecise definition of programs goals, (2) lack of adequate staff, (3) lack of time required to do adequate oversight (since most staff time is used to prepare new legislation), (4) non-objectivity resulting from the mutually reinforcing relationships that sometimes develop between legislative committees and Federal agencies, and (5) lack of established patterns of cooperation among authorizing, appropriations, and government operations committees in sharing information relevant to agency and program oversight.

The speaker also described recent legislative activities designed to improve committee organization and information use and gave a cautiously optimistic assessment of their implications for improving legislative oversight. These actions include: the Legislative Reorganization Act of 1970, the Congressional Budget and Impoundment Control Act of 1974, P.L. 93-344, and House passage of the Committee Reform Amendements of 1974, H.Res. 988.

2. Types of Program Evaluation. The keynote for the second part of the seminar theme --- program evaluation --- was given by Genevieve Knezo of the Science Policy Research Division, Congressional Research Service. Ms. Knezo noted the increasing demand for and proliferation

of evaluation studies as well as the growing dissatisfaction that members of Congress, evaluation researchers, and agency administrators are expressing regarding the use of evaluation in policymaking, including legislative oversight. Many of these inadequacies, she noted, might be attributed to misunderstanding by legislative staff and agency administrators about the techniques used and products generated by different types of evaluation.

Two types of evaluation research are done for Federal agencies: process evaluations and impact evaluations. Process evaluations are used to answer management questions; generally they use non-experimental evaluation techniques and data gathered in the normal course of administering and monitoring a program. They usually are not as costly as the second type of evaluation: impact evaluation. Impact evaluations usually answer questions about the impact of given programs, i.e., did a program cause the change expected in attitude or behavior in participants? Impact evaluations are difficult to do; generally they require both experimental techniques with randomly selected test and control groups, and also use of new data collection techniques which have to be built into a program even before it is funded.

Ms. Knezo also introduced a theme which was heard several times during the seminar series: sometimes the results of evaluation, whether a well-conducted evaluation or a poorly conducted evaluation, or whether favorable or unfavorable to a program, are not used in the oversight process. This failure occurs because the legislative process requires that decisions be based on objective information as well as value preferences. Sometimes adoption of even a small-scale experimental program reflects a political consensus about the feasibility and desirability of a program that no amount of evaluation, whether pro or con will alter.

3. The Need For Understanding Goals. Dennis Little, head of CRS Futures Group, addressed the theme of the need for proper specification of goals. He noted: "In order to conduct a meaningful agency and program evaluation, we need to ask the right questions at the right time, and our inquiry must take place at several levels. The right questions can be asked only if the evaluator understands the agency's goals, missions, program, program objectives, and program and administrative evaluation criteria. In most cases such an understanding does not exist and, consequently, many evaluations are nonexistent or of questionable utility."

He then provided a framework and step-by-step procedure for inducing agency administrators to give clear statements of their goals, program objectives in support of these goals, information needed to assess achievement of the objectives or goals, and ways to determine if new evaluation studies were indeed required. He used the case of the Social Security Administration as an example.

B. Legislative Resources for Oversight and Evaluation

The second part of the first afternoon's presentations consisted of statements about legislative resources for evaluation and oversight. Staff of the Congressional Research Service, the General Accounting Office, and the Office of Technology Assessment described how their primary and secondary data gathering and analysis activities could serve to assist legislative evaluation users. The afternoon concluded with statements from staff members of the House and Senate Government Operations committees, describing their new responsiblities.

1. Resources of the Congressional Research Service. Dr. Norman Beckman, as deputy director of the Congressional Research Service, began these proceedings by providing a general description of the origin, evolution, organization, and functions of the Congressional Research Service as a legislative support agency. He described several types of CRS activities which assist the Congress directly in performing oversight and evaluation. He also gave examples of CRS policy analysis reports which contributed directly to legislative oversight and evaluation functions, including reports relating to mineral leasing; redeployment of U.S. armed forces in certain countries; implementation of revenue sharing; community development; education and recreation legislation; retirement systems; and immigration.

The basic authority for the CRS to support oversight and evaluation is the Legislative Reorganization Act of 1970, P.L. 91-510. Several of the Act's provisions relate specifically to oversight and evaluation. For instance, the act charges the Service with responsibility for: (1) policy analysis dealing with new legislative proposals as well as oversight programs; (2) new anticipatory functions, including the submission to each committee of subject and terminating program lists at the beginning of each new Congress; and (3) maintaining continuous liaison with all committees.

Dr. Beckman also detailed innovative directions CRS is taking to fulfill its responsibilities. These include holding public policy seminars for members and staff, which permit expert speakers to discuss all sides of an issue, and improvement and enlargement of CRS automated information services. These information systems contain data bases directly supportive of oversight and evaluation: bill digests and status

reports; abstracted bibliographic information; and issue briefs which provide in a few pages (in print or on videoscreen) the history, current status and major bibliographic references on important issues. The automated information system also provides researchers with access to other special data bases, such as economic models; unpublished economic, social, and educational census data; special Federal agency bibliographic data bases, such as ERIC, MEDLARS, and MEDLINE: and legal codes.

a. Emerging issues and terminating reports: Dr. Beckman noted that the Legislative Reorganization Act of 1970 gave the CRS new responsibilities for assisting committee oversight by providing committees, at the beginning of each Congress, with lists of important emerging issues and of all programs and activities falling under each committee's jurisdiction which are scheduled to terminate in that Congress.

David E. Gushee of the Environmental Policy Division, described the procedures CRS uses to generate and transmit such lists and the form the lists take. A prerequisite for doing the job, he noted, is the formation of interdivisional CRS task forces to coordinate the preparation of emerging issues lists for committees with jurisdiction over several different types of issues. Preparation of the emerging issues lists also requires special current awareness by CRS analysts and good working relationships with committee staff. He reported that "For the 94th Congress, the Service organized task forces for 49 committees. The lists, when transmitted, all included some oversight topics, and a number of them included agreements on studies the CRS would either do or participate in as components of the committee's oversight activities."

For the 94th Congress, the Service identified 421 expiring programs over half were authorizations of appropriations; the next largest

categories were reports from agencies and commissions and "general authority."

b. Oversight of foreign affairs reports: Often legislation contains language requiring Federal agencies to report annually or semi-annually to the Congress, generating information to be used for oversight purposes. The Foreign Affairs Division of the Congressional Research Service assessed the utility and products of these reporting requirements in the foreign affairs field jointly for the Senate Committee on Foreign Relations and the House Committee on International Relations (formerly called the Committee on Foreign Affairs). Mrs. Ellen Collier of the Foreign Affairs Division described the work in this area.

The first report done for the committees identified several inadequacies of reporting requirements: a variety of different and hard-to-use reporting forms were used; some reports lacked dates for the reporting period covered, or date of publication; in several cases statutory requirements led to overlapping reporting requirements; many reports were submitted too late; and most of the reports were superficial, glossy public relations documents inferior in quality to informational or analytical reports needed for good oversight.

In its first report to the Committees, the Foreign Affairs Division observed that legislative use of reports for evaluation and oversight would be enhanced if steps were taken to improve the quality of reports and if a central information receiving and monitoring system were established.

About a year later the Division prepared a second report for the committees evaluating Federal agency responses to the recommendations of the first report. Although the Division found improvements, which

are generating better information for the committees, it noted that far more work is needed to improve reporting requirements and compliance with them. At the request of the two committees, the Division is now monitoring and analyzing several hundred reports which are submitted to the Congress by executive branch agencies each year in accordance with about 350 separate statutory requirements in foreign affairs legislation.

2. Resources of the General Accounting Office. James P. Oliver, of the General Accounting Office, made the next presentation. He gave a succinct statement, illustrated with numerous charts and graphs, explaining new legislative budgeting requirements mandated by the Congressional Budget and Impoundment Control Act of 1974, P.L. 93-344. He noted, in particular, that properly timed evaluation was needed to fulfill this act and to assist authorizing committees in justifying program requests as required under the act. He also briefly described the relationships between the Office of Management and Budget, the Congressional Budget Office, the General Accounting Office, and the House and Senate Budget Committees in fulfilling the provisions of the law.

The General Accounting Office plans to establish a special Congressional Information Services Group to enable the agency to fulfill its responsibilities under the act for improving and coordinating program information and program evaluation techniques and reports. The group has responsibility for the following tasks: development of information structures and evaluation methods; improvement of reporting to the Congress of information and evaluations; cooperation with the executive branch in improving information systems and evaluation processes; improvement of congressional and GAO capabilities to acquire and use information and programs evaluations; and cooperation with States and local governments in improving the flow of evaluation information.

3. Resources of the Office of Technology Assessment. Dr. Gary Thomas, a staff member of the Office of Technology Assessment working on materials assessments, presented the next paper, which placed the OTA assessment activities in the context of congressional oversight and evaluation responsibilities. The speaker described the origins and current projects being undertaken by the OTA at the request of the Congress.

Dr. Thomas also discussed two issues of special importance to the oversight and evaluation role played by a legislative support agency. He noted that both its legislative mandate and legislative exigencies require the OTA's work to be especially timely and responsive to the Congress. The requirement is designed, in part, to overcome an inadequacy described throughout the meeting: that evaluation reports done by Federal agencies and the GAO frequently are of little use to legislative decisionmaking needs because they are too late.

In this same respect, Dr. Thomas noted that the OTA does long- as well as short-range assessments. Short range assessments consist of two types --- those done to explore the feasibility and need for a more in-depth study and those done on an urgent basis for a particular committee.

Dr. Thomas also noted that OTA maintains very close liaison with committees --- both to receive suggestions for assessments, and to brief committee staff throughout the process of the assessent, making available working documents and monthly reports contractors submit.

4. Oversight and Evaluation in the Senate Government Operations Committee. The next set of presentations consisted of discussions by staff members of the Senate and House Government Operations Committees describing their responsibilities for oversight and evaluation.

Ms. Marilyn Harris, chief clerk of the Senate Committee on Government Operations, led the discussion by committee staff members. She noted that the committee has oversight responsibilities for all Federal agencies. To fulfill these responsibilities adequately, the Committee recently reorganized, creating a functionally and financially autonomous subcommittee structure. She also described the effectiveness of information exchange and cooperation among the subcommittees, and between the Government Operations Committee and other standing committees with legislative authority.

The Permanent Subcommittee on Investigations, which does not have legislative authority, conducts investigations on topics ranging from crime to the Russian grain sale. Howard Feldman, Subcommittee General Counsel, noted two especially important oversight information gathering tools: the use of the subpena power and of highly trained professional investigators. He also noted that the reports of the Subcommittee usually lead to the initiation of legislative action by other committees with legislative jurisdiction for the issue.

The Intergovernmental Relations Subcommittee has legislative oversight responsibilities for the relationships between Federal, State, and local government officials in areas dealing, for instance, with Federal aid programs, questions of constitutional authority, and the Freedom of Information Act. The Subcommittee Counsel, Jim Davidson, described investigations dealing with revenue sharing, the impact of the energy crisis on State and local government, and the New Federalism. This Subcommittee had made effective use of another important oversight information gathering tool: the use of a Harris public opinion poll to obtain citizen's views about the performance of State and local

governmental officials. Current oversight activities include implementation by Federal agencies of the Freedom of Information Act and of activities of U.S. intelligence gathering agencies.

A new subcommittee, the Oversight Procedures Subcommittee, was created during the 94th Congress. Its general objectives are to assist other Senate committees in improving the oversight function and to anticipate problems requiring investigation before they become major issues. Its four specific responsibilities are: (1) to help formulate better methods and procedures for oversight; (2) to oversee the use and disposal of Federal property; (3) to assist in developing new budget evaluation measures; and (4) to oversee the work of the Paperwork Commission.

Bill Goodwin, Subcommittee Staff Director, gave several examples of current activities to improve oversight and evaluation. These include studying the Senate committee structure to consolidate jurisdictional responsibilities and working with the Congressional Research Service and the General Accounting Office to prepare and publish materials on oversight and evaluation procedures and resources.

The Staff Director of the Reports, Accounting, and Management Subcommittee, Vic Reinemer, gave details on the need for and procedures used in two current oversight areas. First is an investigation of over - legislation. The committee believes that the legislative process would be improved considerably if efforts were made to review and revise existing statutes rather than adopting new legislation which may duplicate or counteract existing laws. The Subcommittee is using the services of the General Accounting Office and the Congressional Research Service to carry out this investigation.

The second area of investigation is oversight of the Federal Advisory Committee Act. The committee's preliminary research indicates that the Congress and executive agencies are creating far too many advisory committees; and that existing advisory committees can assume whatever new advisory functions may be required. The Congressional Research Service and the General Accounting Office are also being used for data gathering and analysis on this oversight question.

The next speaker was a Counsel to the Subcommittee on Federal Spending Practices, Efficiency, and Open Government, Ron Chiodo. The Subcommittee's jurisdiction extends to Federal procurement laws and regulations, efficiency, and economy of Federal spending practices generally, and the open conduct of government meetings, including those of the Congress. Mr. Chiodo gave details on the objectives and procedures used for several current oversight investigations, including: cost overruns of military R and D, due to lack of competitive procurement procedures; the need to consolidate Federal procurement regulations; oversight of procedures to review and award grants and contracts in the Department of Health, Education, and Welfare; and "Sunshine" legislation.

5. Oversight Responsibilities of the House Government Operations Committee. Under the provisions of H. Res. 988, the Committee Reform Amendments of 1974, each committee and subcommittee of the House is required to provide the House Committee on Government Operations with a plan for its oversight activities at the beginning of each Congress. The objective of this requirement is to enhance oversight of Federal programs which fall under the Committee's jurisdication and to attempt to coordinate oversight activities of the House committees. The

71-867 O - 76 - 3

Government Operations Committee also has special investigative oversight responsibilities.

Bill Jones, Staff Director of the Committee, described the purposes, methods used, and expected utility to the House of the oversight coordination work the committee did at the beginning of the 94th Congress. Committee staff, from both the majority and minority sides polled members and staff of all House committees to obtain information on the committee's oversight plans. These were later published in a committee print which is included as an appendix to this report.

Mr. Jones said that the document's major purpose is to disseminate information about oversight responsibilities and to prompt committees to develop long-range oversight plans. There are evidences of overlap in oversight jurisdiction; however, according to Mr. Jones, the Government Operations Committee does not now have a responsibility to force resolution of overlaping jurisdictions. Instead the committee encourages the separate committees and subcommittees involved to resolve differences or hold joint investigations or hearings.

"INTRODUCTORY REMARKS", MR. LESTER S. JAYSON,
DIRECTOR, CONGRESSIONAL RESEARCH SERVICE

I welcome you today to the first of three afternoon sessions in a seminar series on legislative oversight and program evaluation. The series is being sponsored by the Congressional Research Service at the request of Senator Lee Metcalf, Chairman of the Senate Government Operations Subcommittee on Reports, Accounting, and Management, and Senator Bill Brock, Ranking Minority Member of that subcommittee. The purpose of the seminars is to acquaint legislative staff who have responsibilities or interest in legislative oversight and program evaluation with current requirements, processes, and resources.

The seminars are designed to bring together useful information on the various resources available to Congress or assistance in the oversight and evaluation process, and to present a variety of actual experiences with oversight and evaluation in both the Congress and the Executive. The sessions are meant to be informal and exploratory rather than an exhaustive inventory or assessment of legislative oversight responsibilities and techniques. Active participation by the audience is essential to the success of this series, and I encourage you to raise questions and offer constructive comments in the discussion period that follows each presentation.

The speakers for today's session will outline new legislative oversight and evaluation responsibilities and the conceptual and methodological links between these two functions. Staff from three organizations which have legislative support functions -- CRS, GAO, and OTA -- will describe some of their resources and activities in support of oversight

and evaluation, using case studies as examples where appropriate. Representatives of the House and Senate Government Operations Committees will then outline their perspectives on committee oversight responsibilities and describe related activities.

On the second day, May 12, four committee case studies representing different substantive areas and approaches to legislative oversight and evaluation are scheduled for presentation. These case studies should help illustrate how different types of evaluation strategies are required for effective oversight and assessment of different program areas. Each of these strategies, presumably, has distinct advantages and limitations -- conceptual, methodological, and political -- that must be taken into consideration.

The third session on May 19 is designed to explore executive branch experience with program evaluation and the evaluation process itself. The General Accounting Office and the authors of a program evaluation manual for legislative staff will discuss evaluation processes and appropriate legislative language and techniques in relation to legislative program goals. The Office of Management and Budget will describe the steps being taken by OMB to improve the conduct and use of evaluation in the executive branch. Dr. Clark Abt, who has extensive experience directing federally supported program evaluation research studies, will give an overview of the state of the art of evaluation techniques and an assessment of the strengths and weaknesses of different approaches. Dr. John Evans of the Office of Education will discuss practical issues and problems with respect to evaluation of education programs, particularly as they relate to the legislative process and to congressional interests.

A more detailed outline of the second and third seminar sessions is available for your information and for circulation to others you think may be interested.

In addition, relevant CRS and other background materials will be on the table by the door at each session for your information and use. These include bibliographies on evaluation, a report on emerging issues relating to evaluation, and the House Government Operations Committee report on the oversight plans of the House committees.

Since I will not be able to be present at all sessions, I have asked Norman Beckman, Deputy Director of CRS, to be the moderator of the seminar series.

Now I would like to introduce the first group of speakers: Mr. Walter Oleszek of our Government Division, Mr. Dennis Little of the CRS Futures Group, and Ms. Jean Knezo of the Science Policy Research Division.

"CONGRESSIONAL OVERSIGHT: A REVIEW OF RECENT LEGISLATIVE ACTIVITIES,"
WALTER J. OLESZEK, CONGRESSIONAL RESEARCH SERVICE

While Members and scholars have long stated that oversight of Federal agencies and programs is a principal and traditional function of Congress, it was not until 1946 that Section 136 of the Legislative Reorganization Act (60 Stat. 132) formally required Congress's standing committees to exercise "continuous watchfulness" of the execution of laws by administrative agencies under their jurisdiction. While always considered an important function, Members today exhibit heightened concern about oversight. Before discussing why there is increased concern with oversight, it might be helpful to define the term.

What is Oversight?

The 1946 Legislative Reorganization Act divided Congress' oversight function among three types of standing committees. First, authorizing committees (Agriculture, Veterans' Affairs, Commerce, and the like) principally had "legislative" oversight over programs and agencies under their jurisdiction. These committees were to assess whether programs were working or not, and propose legislative remedies to resolve whatever program deficiencies they might have uncovered.

"Fiscal" oversight was the primary concern of the Appropriations Committees of each chamber, which were to scrutinize the spending of funds by Federal agencies. Finally, the 1946 LRA granted wide-ranging "investigative" oversight to the House and Senate Committee on Government Operations. With their authority to study the "operation of Government activities at all levels with a view to determining its

economy and efficiency," the Government Operations Committees were authorized to examine the administration and execution of programs that cut across both agency and committee jurisdictions, uncovering waste, mismanagement, and abuses of authority. None of these types of oversight, it should be stressed, is mutually exclusive of the others.

In performing these different types of oversight, Congress, its committees, and individual members have available a range of oversight techniques to insure that (1) program objectives established by Congress are being met, (2) executive waste and dishonesty are eliminated, (3) agencies are properly administered, and, (4) executive policies reflect the public interest. Some of these techniques include: "legislative" or "committee" vetoes, casework, hearings, and investigations, statutory controls, investigations by the General Accounting Office, and the establishment of reporting requirements for Federal agencies.

While the range of oversight techniques is broad, there is recognition by many legislators that Congress is deficient in the conduct of oversight. During 1973 hearings before the House Select Committee on Committees, Member after Member testified as to the inadequacies of committee oversight. As one Representative said, "I have never felt that any committee was doing an adequate job on oversight, and I felt very strongly our committee was not doing a good job on oversight through the years." 33/ To strengthen that

33/ Committee Organization in the House. Hearings before the House Select Committee on Committees, 93rd Congress, 1st session, p. 310.

function, many oversight reforms have been adopted in recent years (see discussion infra). Several possible factors explain the increased concern with oversight, and why Members have problems conducting systematic review of Federal programs and agencies.

Factors Prompting Concern With Oversight

The events associated with Watergate have spotlighted the importance of oversight. Some observers have specifically concluded that if congressional committees had been more diligent in overseeing such agencies as the FBI, CIA, and IRS, many of the Watergate abuses might never have occurred. For example, the National Academy of Public Administration said in March 1974 that "continuing oversight could have made Members of Congress aware much earlier of the centralization of power occurring within the Executive through the conversion of presidential advisers to 'assistant Presidents.'" The Academy recommended that Congress "give major attention to strengthening its capacity to perform the oversight function, with particular emphasis on evaluating the performance of executive agencies." 34/ Oversight might also help rebuild public trust in the Federal Government.

Second, the 1973-1974 oil embargo focused congressional and public attention on the false assumption that the world capacity to produce oil was in no danger and sufficient to support U.S. needs. Many

34/ Watergate: Its Implications for Responsible Government. A report prepared by a Panel of the National Academy of Public Administration at the request of the Senate Select Committee on Presidential Campaign Activities, March 1974, pp. 71-72.

are now aware that the United States, at least in certain areas, may be moving from an economy of abundance to one of scarcity. Hence, legislators are more sensitive than ever to the need to eliminate waste and mismanagement in program administration, to make every dollar count, to authorize programs that will work, and to terminate or reduce the funding of those programs which do not function properly.

Third, particularly since the 1960s (the "Great Society" innovations for example) the number of Federal programs has proliferated. From the small businessman anxious to receive a loan from the Small Business Administration to the elderly person dependent on Medicare payments, more and more citizens are affected by Federal programs. And if things go wrong in those programs, then citizens will alert their Representative or Senator. Moreover, there are today perhaps more groups and associations, than in the past, which monitor the implementation of Federal programs. As an example, the Brookings Institution has recently published a study on Monitoring Revenue Sharing, which examines the general revenue sharing program, which is to be reconsidered by the 94th Congress. 35/

Finally, there are numerous Representatives and Senators who are interested in strengthening Congress' oversight function. This is vital to increased oversight because even if there is a propitious oversight climate, legislators and outside groups must still capitalize upon those political forces if oversight is to be strengthened.

35/ Richard P. Nathan, Allen D. Manvel, Susannah E. Calkins and Associates, Monitoring Revenue Sharing (Washington, D.C.: The Brookings Institution, 1975).

Many Democrats and Republicans, conservatives and liberals, support improvements in oversight, as witness Democratic liberal John Culver (Iowa) and conservative Republican Dave Martin's (Neb.) strong support for the creation of oversight subcommittees on all House committees.

Problems in Conducting Oversight

Many people on Capitol Hill assume that systematic, comprehensive review of programs would be attainable if only Members were more diligent. But, as Professor Morris Ogul has stated: 36/

> No amount of congressional dedication and energy, no conceivable increase in the size of committee staffs, and even no extraordinary boost in committee budgets will enable the Congress to carry out its oversight obligations in a comprehensive and systematic manner. The job is too large for any combination of members and staff to completely master. Congressmen who feel obligated to obey the letter of the law are doomed to feelings of inadequacy and frustration and are laid open to charges of neglect. Fortunately, at least for their own morale, the members of the Congress tend to focus on the immediate more than the impossible.

Nevertheless, there are committees that lack sufficient staff to conduct meaningful review work and (or) neglect to establish an oversight agenda determining which programs and agencies under their jurisdiction have review priority.

Most of the time, oversight is performed selectively, even erratically, because the costs of conducting systematic and comprehensive review are generally perceived to be too high. Many Members simply lack the time (or interest) to explore the numerous, and often

36/ Morris S. Ogul. "Legislative Oversight of Bureaucracy," in Committee Organization in the House, Panel discussions before the House Select Committee on Committees, 93rd Congress, 1st session, p. 702.

complicated, facets of programs. This is often tedious work with no guarantee that Members will reap any political reward, either within their own chamber or among their outside constituents. Moreover, many committees confront a heavy legislative work load of bills proposing new programs or expansion of old ones and must of necessity devote almost full-time attention to the enactment of these measures. As a result, little time is left for oversight.

Some committee members have a narrow conception of when oversight should be done. As one chairman recently stated, "I am ready to do it (oversight) whenever there is evidence, but I want indictment first." 37/ Of course, one can argue that oversight is only necessary when an agency's performance is found wanting and that committee-agency consensus on policy matters indicates little need for systematic review. It is not unusual, however, for committees to be "stacked" with members who share similar backgrounds and the values espoused by agencies. This encourages committee-agency consensus. Such consensus is a strong indication of the need for legislative review of that agency.

Oversight can also be inhibited by the alliance that often develops between committees and agencies. Mutually supportive relationships can develop between the committees that authorize various programs and the agencies that administer them. Of course, a committee may simply agree with a policy and see no need for oversight, or it may trust a Federal official so much that the committee sees no need to review the agency he heads. Moreover, as authors of legislative policy, committees may want program administration to "look good."

37/ Committee Organization in the House. Hearings, p. 67.

The Legislative Reorganization Act of 1946 attempted to deal with these situations through the broad investigative authority granted the House and Senate Committees on Government Operations. Not tied to any single Federal agency or program, these committees can investigate programs and agencies that are within the jurisdiction of another committee. However, the Government Operations Committees have not been as effective as many Members and scholars had hoped.

Among problems the Government Operations Committees have encountered are synthesizing and transmitting information in a way useful for other committees and achieving some degree of coordination and cooperation in the sharing of information among the different types of committees.

Another factor limiting oversight is the lack of clarity regarding legislative intent. Public laws are often the product of conflicts and compromises, and when those compromises are translated into legislative language, it may not be possible to determine with any degree of assurance what specifically was intended for program administration. And on controversial bills, there may not even be any clear consensus regarding the goals or objectives of a program by committee members of staff. Hence, this sometimes leads to internal committee bickering about what constitutes clear standards for indices of program success or failure. Section 702 of the Congressional Budget and Impoundment Control Act (P.L. 93-344) recognizes this problem and directs the General Accounting Office to assist committees in developing statements of legislative objectives in order to facilitate program evaluation.

The way a committee functions can also determine the extent of oversight. Committees organized with rather independent subcommittees, adequately staffed and funded, are more likely to pursue oversight than are committees where a strong chairman dominates his colleagues. With established jurisdictions, subcommittees are better able to conduct realistic and manageable reviews of programs and agencies.

Recent Oversight Reforms

1. Legislative Reorganization Act of 1970 (P.L. 91-510). The 1970 act requires each standing committee to submit a biennial report on its legislative review activities; assigns new program review responsibilities to the General Accounting Office; and directs the Congressional Research Service to provide greater substantive and policy analysis support to congressional committees.

2. Congressional Budget and Impoundment Control Act (P.L. 93-344). Title VII of the Budget Act is entitled "Program Review and Evaluation." The act authorizes committees to fulfill their oversight responsibilities by contract or by requiring Federal agencies to conduct evaluations. Committees may also use evaluative techniques to pilot test programs or to do cost-benefit analyses. In addition, the General Accounting Office is directed to assist committees in developing statements of legislative objectives, and to establish an Office of Program Review and Evaluation to carry out the mission described in Title VII.

3. Committee Reform Amendments of 1974 (H. Res. 988). House Resolution 988, the Committee Reform Amendments, sought to strengthen the oversight role of the House Committee on Government Operations in

particular and that of other committees in general. The Government Operations Committee has been assigned the following new responsibilities:

Preparation of an Oversight Report: Within 60 days after a new Congress convenes, the committee is to report to the House on the oversight plans of every committee and assist in coordinating the oversight activities of the House. The purpose of this proposal is to help facilitate coordination and cooperation among committees on oversight matters and to inform the House as to the oversight plans of the committees.

Expanded Investigative Authority: H. Res. 988 made clear that the Committee on Government Operations need not refrain from investigating a subject area because another committee is studying, or has the jurisdiction to study, the same area. Before, the committee was often reluctant to investigate matters being considered by another committee.

Summary of Review Findings to be Considered by Other Legislative Committees: Very often, the investigative findings of the Committee on Government Operations were not considered by the other standing committees during their legislative deliberations. H. Res. 988 makes clear that the pertinent review findings and recommendations of Government Operations are to be considered by the authorizing committees, if presented to it in a timely fashion. Moreover, the report of the authorizing committee must include the findings and recommendations of Government Operations in a section of the report that is separately set out and clearly identified.

Oversight Findings Noted on Committee Reports: Committees are now required to indicate on the cover of their reports that they contain a summary of the oversight findings of the Committee on Government Operations when that is the case.

All of the above changes were designed to strengthen the oversight role of Government Operations and to reduce the isolation of committees. Very often authorizing committees are not aware of what Government Operations is doing and vice versa. Hence, neither profits from the work of the other. The changes are designed to eliminate that condition and to help promote cooperation and coordination among the committees.

H. Res. 988 required other oversight. First, all committees now have the authority to review the impact of tax expenditures on matters that fall within their jurisdiction. Tax expenditures refer to money not collected because of various "loopholes" (tax subsidies, incentives, or preferences) in the tax code, which will total in fiscal year 1976 nearly $92 billion. By reviewing tax expenditures within their jurisdictions, each committee will have a more complete picture of whether the financial assistance being made available to or through various programs is achieving national objectives.

Second, each committee (except Appropriations and Budget) has a futures research and forecasting responsibility. On the theory that what was will influence what might be, then oversight and foresight are related. Committees now have the responsibility to identify and assess conditions or trends that might require future legislative action. Hence, the House may better be able to anticipate problems before they become crises.

Third, the Select Committee developed the concept of "special oversight," and H. Res. 988, as adopted, granted seven standing committees this responsibility. Issues are simply too complex to divide into watertight compartments. Special oversight insures that certain committees have the right to conduct comprehensive oversight by enabling them to oversee programs and agencies that fall within the jurisdiction of another committee.

Fourth, H. Res. 988 authorized committees to establish oversight subcommittees or to require their subcommittees, if any, to conduct oversight in their jurisdictional areas. At least nine House committees have established oversight entities.

Fifth, committee reports on measures shall include their oversight findings separately set out and clearly identified.

Finally, the costs of stenographic services and transcripts for oversight hearings will be paid from the House contingent fund rather than committee budgets.

Conclusion

Whether the surge of interest in oversight will continue or even accelerate is still unclear. For oversight is complex, difficult, and often a thankless process. Moreover, it may produce more questions than answers. Legislative evaluation of programs and agencies can perhaps identify what isn't working, but it probably won't answer the question of "what works?" While the problems that inhibit legislative oversight still exist, there is strong interest in this function, and this could mean that existing programs will be made to work better.

"PROGRAM EVALUATION CONCEPTS", GENEVIEVE J. KNEZO, CONGRESSIONAL RESEARCH SERVICE

The objective of this brief is to discuss some of the basic concepts of program evaluation research, the other part of the theme of this seminar series. These remarks are intended to provide a framework to enhance the relevance of current evaluation research practices to legislative oversight requirements.

Federally funded program evaluation studies cost about $130 million in the fiscal year 1974. This is about a six-fold increase over the cost of such studies in the fiscal year 1969. Despite the proliferation of evaluation research, members of Congress, agency program administrators, and social scientists have expressed considerable dissatisfaction with the quality and utility of such research. Generally it is acknowledged that many of the inadequacies of current evaluation practices come from a lack of understanding between the doers and the users of evaluation about the questions that evaluation can answer, and about which techniques are most appropriate to answer these questions.

Two Types of Evaluation Research

Federal agencies generally fund two types of evaluation studies. These are process evaluations and impact evaluations. They can be differentiated by their purposes, the techniques used to do them, their cost, and the time required to do the evaluations.

Process evaluations generate information to answer management questions about the operating efficiency of a program. For instance: "who were the beneficiaries or target group? Were resources deployed

efficiently? What was the dollar cost per beneficiary? How many persons were required to administer the program? Generally was the program administered according to the management or delivery principles specified in the research design?"

Impact evaluations answer questions about a more intransigent issue, that of cause and effect. For instance: "did the program intervention strategy or treatment effect a change in the participants? Was the change the one specified in the program?"

Agencies use process evaluations to obtain information needed to make administrative changes in a program. The information elicited in impact evaluations is used to assist in making major policy decisions. For instance, "should a social innovation or new social program be implemented nationwide?"

Process Evaluation

Process and impact evaluations require the use of different research techniques. Process evaluations generally are non-experimental. They use data collected in the normal course of administering a program. Output data are indicated in terms of input data, for instance the dollar cost per beneficiary. These evaluations are inexpensive, require little time to do, can be done after the fact, or as a normal monitoring function. They can be done by program adminstrators, either in the agency or in the field, or if extramurally, by public administrators, auditors, economists, or social scientists. The Water Quality Improvement Act of 1970, P.L. 91-224, is an example of a legislatively mandated process evaluation. It requires the collection of data on the effectiveness of training programs. The act specifies as measures of

effectiveness, data on the number of persons trained and on occupational categories for which training was provided. The Congress requested the information in support of making recommendations about developing new training programs.

Impact Evaluation

Impact evaluations typically use a quasi-experimental or an experimental research design. Since one objective of the impact evaluation is to determine if a program affected the participants' behavior, impact evaluations must control for, or factor out, other events which might have caused modifications anyway in the participants' behavior. This type of research requires the use of a control group and a test group. The members of each group must be matched on psychological, social, and economic characteristics relevant to the program. Since another objective of the impact evaluation is to determine whether the treatment should be adopted nationwide, the groups must be selected randomly. This means that in order for inferences or generalizations to be drawn about the efficacy of the program nationwide, all persons who ultimately might be given the program should have an equal chance of being selected as members of the experimental groups.

The program or treatment, such as an income supplement or a job retraining program is given to the test group. The control group does not receive the program or is given a placebo, that is a different type of training program not being evaluated. Attitudinal and behavioral changes in both groups are followed closely. Other factors which might affect the program outcome, such as an increase of

unemployment in the area, are noted and considered. Then an estimate is made of the actual impacts of the program on the test group.

Impact evaluations are costly and require a long lead-time, usually several years. They use the findings and techniques of social science research, such as hypothesis testing, survey research, and statistical manipulation of the data to draw and match samples, to collect and analyze data about the program's impact and about other trends or events which might affect the outcome of the program. Data collected in the normal course of administering the program are not sufficient for an impact evaluation since these evaluations may require the collection of longitudinal data series, that is trend data overtime, on hard to measure attitudes and behavior. Appropriate data collection procedures usually have to be built into the program before it is implemented.

Impact evaluations may be done on an anticipatory basis for program planning purposes. An example of a legislatively mandated impact evaluation is the Rehabilitation Act of 1973, P.L. 93-112. The Act requires the conduct of an impact evaluation, using test groups and control groups, to assess the impacts on participants of different types of rehabilitation training programs. One objective is to determine the impact of the program on the participants' ability to adjust to disability and to improve their job skills. The New Jersey Negative Income Tax Experiment is another example of an experimental impact evaluation.

Reliable and valid information about a program's impact can be obtained only by the use of an experimentally based impact evaluation

strategy. However there are several drawbacks to experimental impact evaluations, in addition to those of cost and time required. These include:

- a lack of basic social or behavioral science understanding of the causes and effects of human behavior;

- problems of invasion of privacy due to the requirements of data collection procedures used in impact evaluation;

- problems of equity of Federal spending practices if Federal subsidies are given to a test group and not to a control group or to the larger potentially recipient population; and

- problems which result from diffuse or ambiguous statements of legislative program goals which prevent evaluation researchers from developing precise yardsticks against which to measure program accomplishments. Such statements usually are vague because of the need for political compromise in writing legislation.

In should be noted that quasi-experimental research designs, which do not always use randomly selected test and control groups, can sometimes elicit useful policy relevant impact information. However this information generally is not as valid or reliable as that elicited from experimental designs. One type of quasi-experimental research design is a modification of the before and after case study. It compares projected estimates of changes in participants' behavior, where predictions are based on previous trends or social science explanations about changes in human behavior, with observed changes after program is terminated. Like experimental designs, quasi-experimental designs also require preplanning and a long lead time.

Concluding Observations

These concepts of program evaluation have several implications for legislative oversight. First, both process and impact evaluations are useful for legislative oversight. However their purposes and limitations must be understood clearly. Process evaluations most appropriately are used to generate information about the administrative efficiency of on-going programs. Impact evaluations are used for anticipatory program planning and to assess whether a program intervention strategy should be adopted nationwide. Second, when reading evaluation reports, legislative staff should be aware of the purposes of the evaluation and the techniques used. This same caveat applies to the legislative staff person writing requirements for evaluation into legislation. Process evaluations cannot generate information about program impacts. The most valid and reliable impact evaluation information comes from evaluations which use randomly assigned control and test groups. Third, tradeoffs have to be made about the following factors when deciding whether to use an impact or a process evaluation strategy: cost, lead-time, the need to build requirements for data collection procedures into authorizing legislation; and the pros and cons of developing precise statements of legislative goals.

In conclusion, it should also be noted that evaluation is but one of many devices which can be used to generate information and analysis for oversight. Legislative adoption of even a pilot program reflects a political consensus about the desirability and feasibility of the program. No amount of evaluation, whether pro or con, will alter that consensus.

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"ASK THE RIGHT QUESTIONS," DENNIS L. LITTLE,
CONGRESSIONAL RESEARCH SERVICE

In order to conduct a meaningful agency and program evaluation, we need to ask the right questions at the right time, and our inquiry must take place at several levels. The right questions can be asked only if the evaluator understands the agency's goals, missions, program, program objectives, and program and administrative evaluation criteria. In most cases such an understanding does not exist and, consequently, our evaluations are non-existent or of questionable utility. This analysis is intended to provide the reader with a framework for understanding and evaluating the agency's reasons for existence (goals and missions) and their instruments (programs) for staying in existence. Hopefully, by using this framework, the reader can begin to formulate the appropriate evaluation questions.

The goals of many Government agencies or departments frequently are non-existent, ill-defined, historically irrelevant, or hypothetically impossible. The Commissioner of the Social Security Administration has been quoted as saying that he is not sure he knows what the goals of the Agency are, although he does know what they were in 1935. If the Commissioner, Congressman Burke or the chief of staff of the Ways and Means Subcommittee on Social Security, and the Congressional Research Service's top Social Security expert were each to describe in one half-page the highest goal of the Agency, chances are good that there would be significant variations in the three papers. The appropriate relationships among the goals, missions, and program components are represented by Figure 1.

As illustrated in Figure 2, the highest goal of the Social Security Administration might turn out to be individual or family economic security.

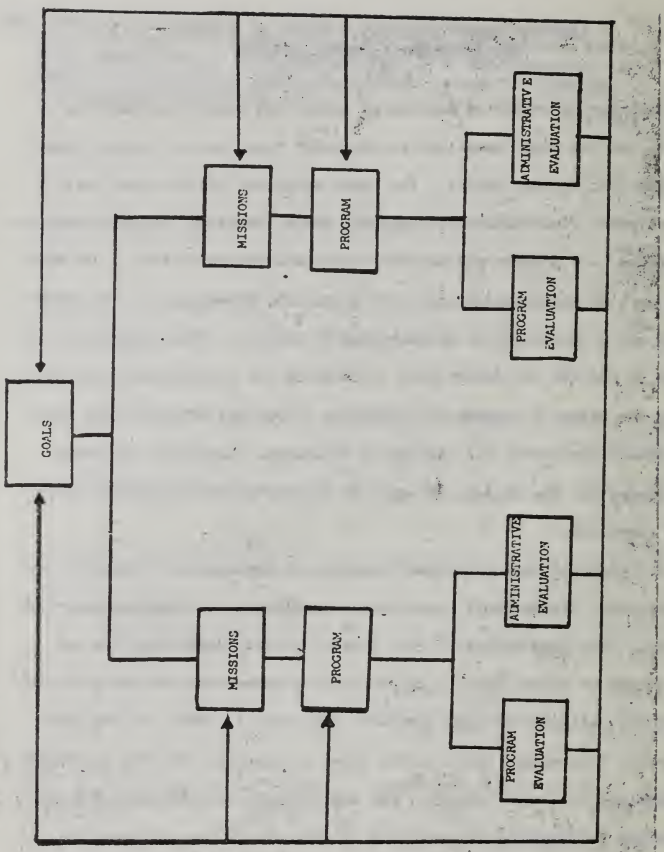

GOALS
MISSIONS
PROGRAM
ADMINISTRATIVE EVALUATION
PROGRAM EVALUATION
MISSIONS
PROGRAM
ADMINISTRATIVE EVALUATION
PROGRAM EVALUATION

Figure 1

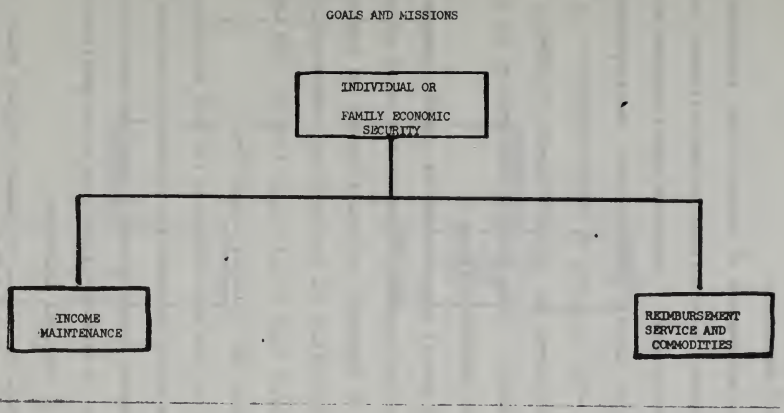

GOALS AND MISSIONS
INDIVIDUAL OR
FAMILY ECONOMIC
SECURITY
INCOME
MAINTENANCE
REIMBURSEMENT
SERVICE AND
COMMODITIES

Figure 2

This goal is composed of the program missions of income maintenance and reimbursement for services and commodities. The mission of income maintenance must be subdivided further into operating concepts and eligibility factors, as Figure 3 emphasizes.

These concepts are composed of insured rights, guaranteed rights, and needs-based rights. Insured rights include retirement, survivors and disability insurance programs. Guaranteed rights programs are not administered by the Social Security Administration. The Supplemental Security Income program -- adult categories of public assistance -- is an SSA needs-based program. Entitlement and post entitlement are elements which determine eligibility factors. These detailed components of the income maintenance mission are pictured in Figure 4.

This model of general structure and the specific example of the Social Security Administration provides a framework for proper interrogation at the program level by examining, at various sectors and intervals, the related variables which affect the perceived goal. Prior to appropriation hearings the committee staff should reqvest from the chief administrative officer of the agency the following information:

1) What are the five main objectives for each program?
 a) In an effort to reduce the information overload, one-line statements should be used to describe these objectives.
 b) A list of back-up, alternative and/or additional objectives may be furnished separately.
2) What methods can be used to measure progress toward these objectives?
 a) One-line descriptive statements of the methods of measurement should be formulated.

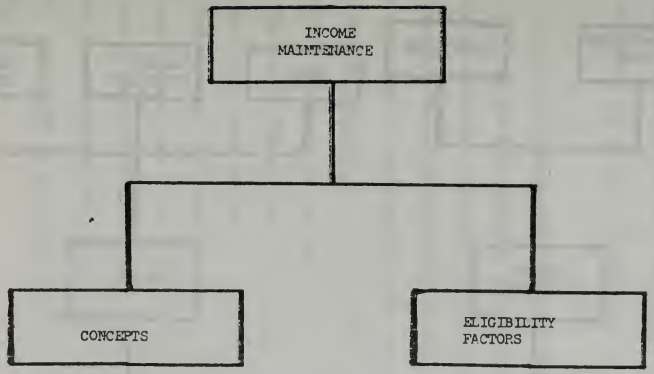


Figure 3

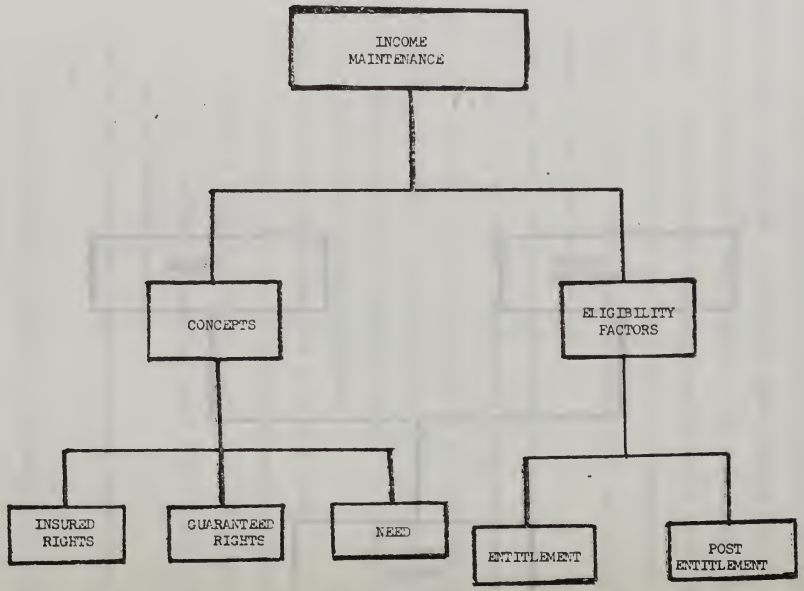

INCOME MAINTENANCE
CONCEPTS
ELIGIBILITY FACTORS
INSURED RIGHTS
GUARANTEED RIGHTS
NEED
ENTITLEMENT
POST ENTITLEMENT

Figure 4

b) The selected methods should not exceed five in number.

c) The estimated cost of obtaining data on each indicator on hand if the data are not currently available and/or accessible.

Upon being furnished this information, the committee should attempt an evaluation of the objectives and indicators provided. This might be done by the committee staff, the Congressional Research Service, the Government Accounting Office, or some combination of the three.

In conducting the analysis the following questions should be considered:

1) Do the objectives concur with the stated goals of the agency?

2) Are these the most important objectives?

3) Do the indicators measure program and administrative objectives?

4) Are there better or more meaningful indicators?

Upon completion of this analysis, the committee may ask the agency for additional information and a detailed analysis of the indicators. The committee's questions to the agency might include:

1) What is the current level of the indicator?

2) What is the desired level of the indicator?

3) Over the next five years, what would be the cost -- dollars, manpower, space, etc. — to close the gap between the actual level and the desired level of the indicator?

An additional question not related to the specific problem is: What effect would attainment of this objective have on the attainment of other agency objectives?

By structuring the investigator's perception of the agency, we can begin to structure our evaluation interrogation, and thus, hopefully, we can ask the right questions at the right time at the right level.

DISCUSSION

The issues raised after presentation of the first four papers dealt primarily with the meaning of the concept of oversight and methods which can be used to determine priorities for legislative oversight. Several points were made. First, frequently oversight is done by exception, meaning that many federally funded programs operate efficiently without congressional oversight; therefore the scarce resources available for legislative oversight should be used for handling only especially controversial or troublesome problems. Second, oversight can be considered a continuing process, whereby the agencies receive a continuous stream of management reporting information, and authorizing and appropriations committees receive annual budgetary information. This may result in information overload. It was noted that perhaps attempts should be made to cut the flow of irrelevant information to agencies and committees. Third, political considerations frequently enter into the performance of oversight. However, it is important for members of Congress to use their political barometers to identify important areas requiring oversight.

"CONGRESSIONAL RESEARCH SERVICE: RESOURCES FOR OVERSIGHT AND EVALUATION," NORMAN BECKMAN, DEPUTY DIRECTOR, CONGRESSIONAL RESEARCH SERVICE

The mission of the Congressional Research Service for more than a half century has been to provide the Congress, and only the Congress, with research and reference assistance on the complete spectrum of public policy issues that Congress must consider. Recently, the Service was directed to establish as a goal massive aid for policy analysis in assisting the Congress to perform its legislative functions.

In moving toward this goal of legislative support, it becomes apparent that there is no really significant distinction between providing policy analysis for pending legislation and providing analytical assistance for legislative oversight and evaluation. These classically discrete legislative functions are, in fact, part of a "push-pull" continuous process. Implementation of new legislation creates, after a period of time, the opportunity and need for oversight. The evaluation process inherent in oversight activities uncovers the need for modification of existing legislation, termination of program authority or enactment of entirely new legislation.

This is an important concept because the superficial tendency is to think, despite our checks and balances system, of Congress as being concerned solely with the law producing function and the Executive with the carrying out of national policy. It is easy to disregard the delivery side of policy before the legislation is enacted and to move on to other matters once the bill becomes a law. The ideal prescription for Congress is continuing review and oversight

71-867 O - 76 - 6

but the temptation and frequent practice are to look for other legislative opportunities rather than to monitor how a program and policy is being managed.

The theory behind the conduct of seminars on public policy issues organized by the Congressional Research Service for Congressional Members and staff is to collapse the time involved in the transfer of ideas. People with expertise and new knowledge to contribute are brought face to face with people directly involved in the very dynamic legislative process. The intervening and time consuming publication process for the transmittal of new information is by-passed through informal presentation and back and forth discussion and debate. In the case of this seminar series on Legislative Oversight and Program Evaluation the experts are "us" - the Congressional Research Service, the General Accounting Office, the Office of Technology Assessment, and the congressional staff speakers.

The basic authority for the Congressional Research Service in assisting the Congress to meet its oversight responsibilities is contained in the Legislative Reorganization Act of 1970. Several of the Act's provisions are directed to the Service's support of congressional oversight and evaluation activities: an explicit mandate for policy analysis of legislative proposals and oversight, new anticipatory functions-the submission of subject and terminating program lists at the beginning of each new Congress and a directive to maintain continuous liaison with all committees. The Service has no monopoly on this function-sharing it with a wide range of resources within the Congress (including Members' staffs, professional staff of committees, policy committees and informal research groups, the General Accounting Office, the Office of Technology Assessment, and the new Congressional Budget Office), and with such

outside resources as the executive departments and agencies, the various interest group organizations located in Washington and elsewhere, and universities and private research organizations.

Following a very brief history and introduction to the Service, this paper speaks to four questions: What has been done to implement the specific new statutory mandates given the Service in 1970? What has been done to provide additional analytical support to the Congress for oversight? What are some of the new directions being considered by the Service? What are the implications for CRS of new proposals to improve Congress' research and information base? Following this paper, three speakers from the Congressional Research Service will present three different case studies of oversight staff support provided by CRS:

(a) oversight activities stemming from CRS statutory responsibility to identify emerging subject areas of interest to committees and report on terminating program authorities;

(b) oversight opportunities stemming from analysis of Executive Branch reporting to Congress in the field of foreign affairs; and

(c) direct support for committees' oversight activities in the field of health care.

Some other recently completed oversight projects conducted by CRS that come readily to mind (in order to preserve confidentiality of the request and response, only general titles are provided) include: mineral leasing; redeployment of U.S. armed forces in certain countries; implementation of revenue sharing; community development; education and recreation legislation; and retirement systems and immigration.

To emphasize the priority to be given by the Service to public policy research, Section 321 of the Legislative Reorganization Act of 1970 (Public Law 91-510) changed the institution's name from the Legislative Reference Service to the Congressional Research Service. The intent of this section of the act was to expand and change the nature of CRS support to congressional committees, emphasize the primary importance of assistance on legislative matters, promote analytical and original research, grant the Service greater autonomy within the Library of Congress and render it more directly responsive to the Congress.

What are the resources available and how is CRS organized to provide oversight and evaluation support? The general intent of the 1970 act was not significantly different from that of the 1946 Legislative Reorganization Act, which emphasized committee support, appointment of senior specialists, and greater organizational independence for the Service. But this idealistic postwar act, like the Employment Act of the same year, never fully achieved its potential. In the first four years after the 1946 act, appropriations for the Service increased from $213,000 in 1945 to $514,700 in 1949 and its staff grew from 62 persons to 117 in 1949. In contrast, budget increases during the first four years after the 1970 act raised the Service from a base of $5,653,000 and 363 positions in FY 1971 to $13,345,000 and 703 positions in FY 1975.

The Congressional Research Service is organized into ten divisions. Seven of the divisions, staffed by senior specialists, specialists, analysts and research assistants, perform substantive research in the following broad subject areas: American Law, Economics, Education and Public Welfare, Environmental Policy, Foreign Affairs (including national defense), Government, and Science Policy. The research divisions are supplemented by an interdisciplinary group of subject area specialists who comprise the Senior Specialists Division, a

Congressional Reference Division which handles the bulk of the reference requests, and the Library Services Division which provides information and bibliographic support.

The Joint Committee on the Organization of the Congress, in proposing the Reorganization Act of 1946 had "endorsed the principles that (a) research can be most effectively supplied by a pool of independent experts, and (b) that the Congress should have direct access to its own separate research agency." In effect, Congress reendorsed those less-than-fully achieved principles in the Legislative Reorganization Act of 1970, with an added emphasis upon support for the functions of congressional committees.

The House Committee on Rules, in its report on the Reorganization Act issued on June 17, 1970, emphasized the Service's new and expanded committee-related duties. "The complexity of committee responsibilities," the report said, "requires another supplementary staff to provide massive aid in policy analysis. For this purpose we propose that Congress expand the functions and facilities of the Legislative Reference Service.... Advance planning is essential if committees are to derive the maximum benefits from the resources to be made available by the Congressional Research Service."

A number of organizational options were available to the Congress in achieving better oversight over the administration of laws and policy analysis assistance in examining new legislative proposals. The House Rules Committee rejected making additional staff available to each committee on the grounds that they would be absorbed in day-to-day work, could not do specialized, indepth work, nor provide for exchange of information.

The Service is now the largest institution solely devoted to providing public policy research and information assistance to the Congress. It receives and responds to over 200,000 requests a year, which include over 400 assignments for indepth analytical assistance requiring a significant amount of manpower. CRS provides factual information, analysis of issues, alternatives to proposals, and evaluation of alternatives without either advocacy or partisan bias. It also observes strict confidentiality of both requests and responses. Its assignments are received from four primary sources--committee staffs, members and their staffs, constituents (received through congressional offices), and specific statutory requirements such as provision of lists of terminating programs and activities and preparation of the Digest of General Public Bills and Resolutions.

Implementation of New Statutory Responsibilities

The legislative history of Section 321 of the Legislative Reorganization Act of 1970 indicates that the Congress sought to achieve two principal goals in revising the basic statute of the Service. First, it was clearly intended that the Service's research and analytical support for the committees of Congress should be expanded. Second, while sanctioning CRS assistance to committees and members in their representative functions and activities, it intended to make clear, as the House Report put it, that "the major function of the Congressional Research Service is to provide assistance to committees and individual Members of the Congress with respect to legislative matters."

The current operational goals of the Service are:

- To provide indepth analytical and research assistance to the committees of the Congress to support them in their legislative and oversight responsibilities;

- To provide both members and committees with other analytical and research assistance to support their legislative responsibilities;

- To assure that CRS assistance to the Congress is of the highest feasible quality and that it is responsive to the needs of the Congress;

- To provide information on the status and content of current legislative proposals;

- To provide both information and reference assistance to both members and committees to support their legislative and oversight responsibilities;

- To assist members of Congress with their representative functions;

- To provide the necessary administrative support to insure the optimal use of CRS resources in meeting congressional information and research needs.

Stemming from these goals are four major new directives to the Service to be examined in more detail: (a) to provide policy analysis and research to assist committees in their legislative functions; (b) submission of lists of subjects and policy areas to committees at the opening of each new Congress; (c) submission of a list of programs and activities scheduled to terminate to each appropriate committee at the beginning of each Congress; and (d) maintenance of continuous liaison with all committees.

Policy Analysis for Committees. The statute (P.L. 91-510) directs that: "(a) Upon request, CRS is to advise and assist all committees and joint committees of Congress in the analysis, appraisal, and evaluation of legislative proposals in order to assist them (1) in

determining the advisability of enacting such proposals, and of alternatives to them, and, (2) in evaluating alternative methods for accomplishing the goals of such proposals."

This bold and idealistic directive to supply committees with objective, indepth analysis and presentation of alternatives on any subject matter raised a number of questions for CRS. Is it necessary to set up a separate research staff to provide these indepth services? What is the relationship between the jurisdictions of the congressional committees involved and the subject specializations of each of the existing CRS divisions? What gaps exist in subject coverage and competence within CRS? What kinds of methodology would constitute sound policy analysis research and what new analytical techniques and resources should be implemented by the Service? Can policy analysis leading to "determining the advisability of enacting each proposal" be provided without violating CRS policies of nonadvocacy? How rapidly can the Service expect to meet the large volume of unanticipated needs without compromising standards of quality and timeliness? How are priority research efforts to be determined? How can the possible fears on the part of professional committee staff about the impact of the Service's new duties be allayed? Should the Service concentrate on committees, already receiving considerable research support or on those committees receiving little or no assistance at the present time? Should contacts be made at the subcommittee level or channeled through the full committee? While the Service has explored each of these in depth, most will remain unanswerable until further experience has been gained.

As part of its evaluation and planning effort, the Service now identifies and monitors major committee projects that require analysis, have a direct connection to legislation, and require a significant investment of CRS manpower. During FY 1974, 456 such projects were initiated.

A current analysis of CRS research for committees highlights a number of variables affecting the amount and type of work CRS provides congressional committees. The analysis notes that even with its new mandate, CRS progress is conditioned by factors which it has little or no control. The basic decisions that determine both the volume and the type of work are made by the committees.

Lists of Subjects and Policy Areas for Committees. One of the major new responsibilities assigned to the Congressional Research Service by the Legislative Reorganization Act of 1970 was designed to assist committees with their advance planning. CRS was thus directed to make "available to each committee of the Senate and House of Representatives and each joint committee of the two Houses, at the opening of a new Congress, a list of subjects and policy areas which the committee might profitably analyze in depth..."

Here too a range of problems and options confronted the Service. Should a comprehensive list be prepared for each committee or should the lists be limited to subjects on which CRS could offer assistance? Should only lists be provided or should additional analytical materials be provided? Should lists be provided to committee chairmen only, all members of a committee, or to Congress as a whole? What methodological

procedures should be used in identifying and tracking policy areas in each major subject field? What if a committee does not desire the submission of such a list?

For the pilot implementation of this new responsibility, the following procedures were developed and carried out. Late in 1972, appropriate CRS staff met with committee staffs and, in some cases, members. Ad hoc teams consisting of some 30% (144 persons) of the total research staff were formed to work with the committees. Teams were composed of individuals knowledgeable in most aspects of a committee's jurisdiction and in many cases included staff from several divisions. The committee was encouraged to discuss its plans and needs for research with the appropriate team and in turn CRS staff suggested additional promising subject areas for the committee to consider. It was also an opportunity to describe CRS capability in the committee's fields of interest. The resulting lists of subjects and policy areas thus incorporated contributions by both CRS and the committee.

Each committee was given the option of receiving a selected list consisting only of subjects on which the Service could provide assistance, or a comprehensive list, which included but was not limited to those subjects on the selected list. The final product, unless specifically requested otherwise by a committee, included a summary list of agreed-upon subjects and policy areas, a one-page description of each subject to explain the reasons for its inclusion and provide additional sources of information, and, to the extent feasible and desired by the committee, additional materials to supplement and illustrate the one-page treatment.

Terminating Programs. Documentation and current status of legislation has always been a concern of the Congress. The Reorganization Act inaugurated new documentation responsibilities by directing that CRS prepare for each committee a list of programs and activities, within its jurisdiction, scheduled to terminate during each Congress. CRS, in developing its guidelines, assumed that the principal purpose of preparing the lists was to further assist the committees in their advance planning efforts.

Beginning in late 1971, the American Law Division of the Service examined over 4,000 statutes enacted during the preceding decade and by December 1972 had identified some 730 programs and activities scheduled to terminate during the Ninety-third and subsequent Congresses. Over half of these programs related to authorization of appropriations, and an additional 23% provided general authority for programs operated by executive branch agencies. Other categories included termination of commissions, loan authority, tax authority, reservations of land, pensions, and reporting requirements.

Following identification of terminating programs, the Service prepared summary lists of the 458 programs and activities scheduled to expire during the Ninety-third Congress and transmitted these, with supplementary descriptive materials, to 32 House, Senate, and joint committees of Congress. Each committee packet included basic identifying information and a legislative history on each terminating program within the committee's jurisdiction. For 319 programs terminating during the first session of the Ninety-third Congress, the Service, insofar as resources permitted, also sent to each committee a more detailed report to aid the committee in reviewing the program.

CRS Liaison with Committees. The Legislative Reorganization Act requires CRS to maintain continuous liaison with all committees so that they may better understand and utilize the Service's multidisciplinary research resources and facilitate advance planning. Although separately stated in the 1970 act, several of the Service's new duties concerning congressional committees are closely related in overall purpose. Because preparation of lists of subjects and policy areas and terminating programs for committees was not required until late 1972, the Service turned its attention to the general liaison function.

The objective of the new liaison effort to be undertaken was described in a memorandum from the director (contained in the 1971 Annual Report) stating in part:

> Our liaison efforts with committees should be directed toward: (a) keeping them informed about our present and potential resources for assisting them; (b) acquainting them with Service reports, already prepared or in preparation, of interest to them; (c) informing them about other, non-Service, materials of use to them and of techniques by which the Service can keep them regularly informed about such materials; (d) the preparation and submission of those lists of subjects and policy areas the committees might profitably analyze in depth that we are obligated to supply them, including subjects of emerging interest to them; and (e) preparing and submitting the lists of expiring legislation also required by the Reorganization Act.

Perhaps the major options facing the Service in implementing the liaison function were those of internal organization and rate of implementation. A recent internal memorandum states the basic organizational decision:

> One of the first questions the Service examined after passage of the 1970 Act was whether it should establish a staff exclusively devoted to committee liaison--that is personnel whose sole function it would be to maintain communication and contact with committees. After careful consideration, and at the urging of vir-

> tually every senior CRS staff with experience in working closely with committees, the Service decided not to adopt this approach, at least during the first few years of operations under the 1970 Act. Until circumstances indicated another course, therefore, we decided to rely upon our senior subject people, those who actually do substantive work for committees, for the liaison function.

While a more formalized network might have been expected to be established by this time, the process to date has been an evolving one. This, in large part, is due to the number of committees and subcommittees involved, approximately 350. The goal continues to be an evolutionary approach designed to build working relationships based upon subject expertise.

Other Innovative Services

The Service's response to congressional needs goes beyond the very ambitious and explicit statutory provisions of the Legislative Reorganization Act. The House Rules Committee report on the Reorganization Act directed CRS to experiment with additional ways of providing assistance to Congress:

> Staffs should become proficient in existing analytical techniques and develop new ones as necessary. Both agencies [CRS and GAO] should be encouraged to experiment and to be innovative in carrying out their new as well as their older functions.

The director of the Congressional Research Service, in recent testimony before the Joint Committee on Congressional Operations, identified certain new services not explicitly required by the 1970 act:

> We sponsor several series of seminars at which outside experts discuss major public policy issues with Members or staff. We have steadily expanded our automation facilities and sought new and promising applications. One of these, for example, provides us, and therefore the Congress, with one of the largest and most up-to-date economic data bases currently available and includes programs for analyzing the economic impact of alternative

> fiscal and monetary policies. With the encouragement of the Senate Committee on Rules and Administration, CRS is developing an issues briefing system through which we will be able to provide concise updated information about current legislative issues by video screens located in the offices of Members.

The public policy seminars for members and staff, and the automated information services, are described in more detail below.

Public Policy Seminars. The Service has expanded cooperative arrangements with outside organizations to permit members and their staffs to meet informally with experts on national issues. With the Advanced Study Program of the Brookings Institution, CRS initiated in the fall of 1972 a series of seminars for members of Congress and a separate series for the senior staffs of member and committee offices. In the past two years, twelve seminars for members have included discussion of such topics as: U.S. relations with China, crime prevention and law enforcement, energy and the environment, national housing programs, consumer protection, media and the government, and the multi-national corporation. Eight seminars have been held for congressional staff on: legislative implications of the 1972 election results, budget reform and control, legislation affecting the status of women, and new trends in strategic weapons policy in the national defense budget. The series has attracted an overall attendance of 277 members and 677 staff.

Additional seminar activities have included a continuing series on national urban growth policy, four seminars exploring basic tax issues, held for congressional staff in 1973, and presentations by CRS and the Office of Management and Budget in February 1974 to House, Senate, and CRS staff on use of the 1975 budget documents.

Automated Information Services. The Service has identified a number of procedures with potential for the storage and delivery of information through the application of data processing techniques. Thus, in recent years, the Service has gained access to or has internally developed a number of data files. The Legislative Information Data Base includes the contents of the Service's Bill Digest and additional information on all public bills and resolutions of the current Congress. Each bill is monitored for 22 data elements (for example, bill co-sponsor, committee action, identical bills) and information is retrievable via video tube in several formats (for example, a run of all bills assigned to a particular committee and a listing of all bills relating to a specific subject).

Most recently, at the initiative of the chairman of the Senate Committee on Rules and Administration, the Service has been developing an automated Issues Briefing System. This experimental new service is being made available on a pilot basis, pending its further development and refinement. The system is designed to serve the current information needs of members, committees, and their staffs by maintaining general, easily accessible, summaries of many key issues of public policy. The summaries, or issue briefs, are provided by means of a computer information storage and retrieval system that can be accessed by video-tube terminal. Copies of individual Issues Briefs are also available to both the Senate and House in printed form. Each Issue Brief (currently on 130 topics) contains current information on background facts, legislation, congressional hearings, reports, and chronological developments, and provides useful references.

In addition to these programs maintained by CRS personnel and stored in the library's computer, the Service currently has rental access to five outside data banks. The New York Times Information Bank is accessed by a videotube and associated high-speed printer and queries are transmitted by direct telephone line to the data files. These files contain indexes and abstracts of all news articles published in the New York Times since 1969 and abstracts from selected additional magazines and newspapers. MEDLINE contains over 400,000 entries from some 1,200 journals in the medical research and public health fields. Its bibliographic data is retrievable by author or subject. JURIS (Justice Retrieval and Inquiry System) maintains the text of six information files, including the U.S. Code. Additionally, CRS has access to programs that provide the program grants and expenditures of the Department of Health, Education, and Welfare; that can project the costs of Federal support to education and other programs; and that provide an econometric model of the national economy, which enables extensive analytical review of the Federal budget.

The Past is Prologue

In the past four years, CRS appropriations requests have placed the highest priority on implementation of new and expanded responsibilities under the 1970 act. Although the rate of growth has been slower than anticipated, the Service has acquired significant new staff resources, and assistance to committees has grown correspondingly. Now that the Service is moving toward completion of its five-year implementation program, new approaches are being explored to satisfy the research needs of the Congress.

A statement by the director of the Service at the May 1974 hearings of the Joint Committee on Congressional Operations on research and information support for the Congress sketches certain of these exploratory efforts:

> The Service has already asked for funds that will permit us to explore the addition of another dimension to our support for Congress: futures research. This relatively new discipline might help us to do a more penetrating job of identifying and analyzing emerging public policy issues....
>
> We also hope to establish closer liaison with the scholarly community, perhaps by a program of temporary assignment of scholars to the Service who could provide tangible assistance on specific projects and who would bring fresh insights to the staff of CRS and the Congress.
>
> Many Members and committees show increasing interest in the use of public opinion surveys to supplement their informational resources. Although it is probably inappropriate for CRS to conduct such surveys, there are a number of ways in which we might assist Congress in this area.
>
> I have already mentioned our interest in establishing programs that would permit us to attach some of our staff to committees for limited periods so they can learn about the needs of those organizations.

The actions recently taken by the House of Representatives, after consideration of the recommendations of the Select Committee on Committees and substitute proposals, will also have a number of impacts on CRS, as well as on the delivery of research and information services to the Congress generally. Of major long term significance, there was created a study commission to make recommendations on the information problems of the House of Representatives. The study is to include, but not be limited to, CRS, the General Accounting Office, and the Office of Technology Assessment and the organizational framework that makes them effective or ineffective. The House also created a legislative classification office and required the preparation of summary descriptions of House bills.

71-867 O - 76 - 7

The enactment of the Congressional Budget Act of 1974 (P.L. 93-344) will also significantly affect the work of the CRS. As previously noted, the Service has already strengthened its capacity to perform certain kinds of budget analyses. It is anticipated that cooperative working relationships will be developed with the new Congressional Budget Office, as directed in the statute, and with the budget committees.

Other legislation introduced in the Ninety-third Congress to establish new offices and commissions in the legislative branch would, if enacted, also impact on CRS and its plans for further implementation of the 1970 Legislative Reorganization Act.

Implicit in certain of the proposals for improved congressional decision-making is a search for a "philosopher's stone," a device that will produce the right answers: a deus ex machina that will recommend legislation that best achieves the public interest.

The Service, as a staff arm of a policy-mediated and partisan power structure, operates on an entirely different premise. It has no official views regarding which is a better solution to a legislative problem. It attempts to identify choices and to forecast the apparent implications of the alternatives, but it is the member and then the Congress that make the decisions.

Hairline distinctions must be observed by each CRS staff person on the one hand to avoid either advocacy or sterility and on the other to maintain a reputation as a leading specialist in his subject field. The rules of the game are described in a recent Praeger volume on U.S. government agencies, The Library of Congress:

> In order for the CRS to survive, the congressional inquirer must never be able to guess where the researcher himself stands on any particular issue. The result is that if someone believes deeply

> that a particular solution is the only answer, that person is inappropriate for the CRS.... But the person who believes deeply in the importance of his subject field and who is eager for the Congress to have as many solutions available to it as possible and to have as great a knowledge of the impact of these alternatives, together with a sensitivity to what these solutions will cost this generation and five generations to come, and who yet recognizes that for the democratic system to survive the choice of a solution must be left to the elected representatives--that is the person the CRS seeks for its staff.

These and other proposals will continue to involve CRS and the Congress in carrying out the spirit of the Legislative Reorganization Act of 1970. The CRS mission remains to respond to the research, analytical, and informational demands of Congress. To do so will mean constantly seeking and implementing new and improved ways of fulfilling that mission within the ground rules of confidentiality, nonadvocacy, and nonpartisanship.

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"THE SERVICE'S RESPONSIBILITIES FOR EMERGING ISSUES AND TERMINATING PROGRAMS",
DAVID E. GUSHEE, CONGRESSIONAL RESEARCH SERVICE

The Legislative Reorganization Act of 1970 charged CRS with two specific functions that relate at least partially to congressional oversight activities. These two CRS functions are:

(1) To prepare and present to each committee at the beginning of each Congress a list of subjects and policy areas the committee might profitably pursue in depth.

(2) To make available to each committee at the beginning of each Congress a list of programs and activities scheduled to expire during that Congress.

Since enactment of the Legislative Reorganization Act, CRS has carried out these new statutory functions twice. What follows is a description of how the functions were carried out, what the list so generated contained, how the committees have responded, and what the exercises might mean to the oversight and program evaluation responsibilities of the committees.

Basically, the CRS organizes around issues areas, some of which are discipline-based such as law or economics, while others are function-based, such as education, taxation, environment, or governmental structure. Either way, CRS analysts end up specializing in reasonably well defined issue areas which may or may not coincide with committee jurisdictions in the Congress.

Some months prior to the end of a Congress, the Service sets up ad hoc task forces corresponding roughly with committee jurisdictions. These task forces review the information available to them about issues facing their committees in the forthcoming Congress, and develop a list of these, along with a brief analysis of the status of debate on each.

Input to these analyses includes a list of programs within that committee's jurisdiction which are scheduled to expire (how this is generated will be discussed later), the analyst's knowledge of the committee's agenda, an awareness of debate in the current Congress on initiatives not yet enacted into programs, an awareness of debate over agency performances in implementing previously enacted legislation, awareness of discussion in the professional and trade literature or "invisible college" in the issue areas or related areas and awareness of concerns and suggestions for improvement of the design of legislation, among other things.

The ad hoc task forces thrash out, from this raw material, their view of issue areas their committees might either have to or want to deal with, along with some preliminary views on priorities and opportunities for useful research and analysis the Service might perform (or that others might perform, if appropriate).

The task force coordinators, thus armed, initiate discussions with committee staff beginning at the staff director level and proceeding as far into the committee and subcommittee staffs as can be arranged. These have at least two purposes:

(1) To reach agreement on a list of subjects and policy areas for formal transmittal from the Service to the committee.

(2) To stimulate advance planning in the committees and to include in such planning such analytical and other support services the CRS might constructively contribute as extensions to the committee staff's capabilities of time, resources, special expertise, or objectivity.

In some of these discussions, other purposes are served beyond these. CRS subject specialists might deal directly with subcommittee or other staffers dealing with various issue areas, thus establishing a rapport from which future CRS support activities develop. In other cases, specific research projects are developed and agreed upon on the spot, thus giving the committee a planned flow of reports and giving the Service a chance to plan its own research agenda and resource development.

In other cases, of course, the exercise results primarily in a formal transmittal only. Further work relationships are left for development by other methods.

For the 94th Congress, the Service organized task forces for 49 committees. The lists when transmitted all included some oversight topics, and a number of them included agreements on studies the CRS would either do or participate in as components of the committee's oversight activities.

Subsequent to transmittal of the lists, of course, contacts between committees staffers and CRS specialists have led to many additional oversight-related analyses by CRS for committees. We don't know for sure how many of these are direct or indirect results of the subject list exercise.

I mentioned at the beginning that the CRS ad hoc task forces used as input to their own discussion the lists of programs scheduled to terminate during the next Congress. These lists are the result of a program initiated after the Reorganization Act of 1970, whereby each new Public Law is scanned to identify provisions with specified termination dates.

Each such program is entered on a computer file with a brief description, a statutory citation, the expiration date, the committees of juris-

diction, and a brief legislative history. These entries are sorted by expiration date and by committee.

For the 93rd Congress, there were 458 terminating programs, 319 of which were scheduled to expire in 1973. About 55% of the 458 were authorizations of appropriations; the next largest categories were reports from agencies and commissions and "general authority."

For the 94th Congress, 421 programs have been identified as expiring. The breakdown among categories is similar to that for the 93rd Congress. Most lists transmitted at the beginning of this Congress included issues associated with these terminating programs, and most terminating appropriations authorizations had issues associated with them that were controversial enough to be included, either explicitly or implicitly, in the issues treated.

"MONITORING REPORTS TO CONGRESS REQUIRED BY LAW",
ELLEN C. COLLIER, CONGRESSIONAL RESEARCH SERVICE

The requiring of a report from the executive branch is one of the oldest and most common methods by which Congress seeks to oversee the carrying out of the legislation it enacts. When a law contains a provision such as that "The President shall report to Congress by January 30 of each year on actions taken under this Act," Congress demonstrates its intention to follow through and see how the legislation is carried out. That it is an old and common method is shown by the fact that since 1821 the rules of the House of Representatives have required that each year the Clerk present to each member a list of all reports which each executive agency is required to submit. The list submitted on January 14, 1975 (House Document 94-7), was 44 pages long. But perhaps because reporting requirements are so frequent, they are often not appreciated as the powerful tool for obtaining information that they are.

There are many different kinds of reporting requirements. The most usual are for periodic reports, particularly an annual report. However, sometimes when Congress wants to keep a little closer watch on a program or agency, it calls for a semiannual or quarterly report. Another kind is for a non-recurring report as when an agency is called upon by Congress to make a single study and report its findings by a specific date. Still another kind is the requirement that Congress be notified of certain Presidential determinations or findings, or of executive actions. For example, it is required that all international agreements not submitted as treaties be transmitted to Congress within 60 days.

Reporting Requirements Study

The effort to monitor reports required in the foreign affairs field began in 1969 when the Senate Foreign Relations Committee asked the Foreign Affairs Division for an identification and analysis of the reporting requirements in legislation on foreign relations. The subsequent study, "Reporting Requirements in Legislation on Foreign Relations," published in 1970, described a patchwork of more than a hundred reporting requirements spread through approximately 50 pieces of legislation.

In a few instances, such as the Foreign Assistance Act, there were large numbers of reporting requirements, some of them overlapping or clearly obsolete. In other cases, there were no reporting requirements at all. For example, when Congress established the Central Intelligence Agency, it did not include any requirements for CIA to report to Congress. Nor were there any reports required from the Department of State on its operation or on overall U.S. foreign policy.

Even in the first study it became clear that the reporting requirements and the reports filed in response to them could be a valuable means of communication between the legislative and executive branches. For Congress, they could be an important tool for overseeing the carrying out of legislation. However, whether they were actually serving as such a tool required further study. There were two major questions, namely, were the reporting requirements being met, and was full use being made by Congress of the reports when they were submitted.

Study on Required Reports

The Senate Foreign Relations and House Foreign Affairs Committees then joined together and asked the Foreign Affairs Division to make a survey of the extent to which the reporting requirements were being fulfilled by the executive branch. For the next two years, 1971 and 1972, the Division kept records of the date each report was submitted in response to a reporting requirement, and examined every such report to see if it fully met the reporting requirement and was generally useful for congressional purposes.

The basic findings were published as a joint committee print in April 1973 in the study "Required Reports to Congress in the Foreign Affairs Field." The study found that the reporting requirements in legislation and the reports submitted in response to them constituted one of the major information systems used by Congress. A substantial amount of information was being furnished through the ever-growing number of reports. Nevertheless, despite the large number of reporting requirements and reports, the reporting requirement system was not being used to its fullest potential. It seemed clear that the effectiveness and efficiency of the reporting requirement system could be greatly enhanced.

A number of common problems were found in the reports examined. The most obvious was lateness. A large number of reports were submitted too long after the period they covered to be considered current, or too late to be useful in the hearings on a program. Many reports had security classifications and made no attempt to present a separate unclassified version, making it extremely difficult for any of the information in the

reports to be utilized. Even some of the unclassified reports were difficult to obtain. A surprisingly large number of reports were not dated, and many were not clearly identified as to which reporting requirement they fulfilled.

On more fundamental matters, while some reports were excellent, many simply did not contain enough information to be useful to Congress. Often there appeared to be a real lack of understanding of the kind of information that Congress needed.

The study found that required reports served a variety of functions, and that sometimes this led to a deviation from the main objective. For example, one function of requiring a report is often to assure the availability of information to the public on a program. Sometimes, however, agencies submitted reports which probably were useful to those agencies for public relations purposes but which were of very little use to Congress in assessing the value and needs of the program. For example, some annual reports were attractive brochures but not the serious discussions of funds and problems needed by Congress. The problem did not always lie in the report. Often the reporting requirements themselves were vague and did not indicate when a report was wanted or what information was intended.

The study indicated that although the executive branch prepared the reports and could do a lot on its own to improve them, there was also much that Congress needed to do. First, it needed to develop a system of monitoring the receipt of reports, so that there would be a central place for knowing whether a report had been received, and to whom it had been

sent. With such a monitoring system, if a required report was not submitted in a timely fashion, a question could be raised by the appropriate committee to the agency. Committees needed to gear the use of the reports into their preparations for hearings, so that the presentation material and questions at the hearings could build on the basic information in the reports. Evidence that the reports submitted were being used was needed to convince the preparers of the reports that their efforts were worthwhile.

Follow-up Study

After the study on required reports was completed in April 1973, the chairmen of the House Foreign Affairs and Senate Foreign Relations Committees sent it to the principal foreign affairs agencies and asked them for comments on the individual analyses of their reports. In addition, they asked the Foreign Affairs Division to continue to monitor the reports in the foreign affairs field and to assist in efforts to improve the reporting requirements.

A joint committee print containing the replies of the agencies and discussing the improvement effort was then published in April 1974 under the title "Improving the Reporting Requirement System in the Foreign Affairs Field." That study pointed out that 1973 had been a landmark year in the use of reporting requirements, inasmuch as the potential of such requirements had been applied to the fullest in the War Powers Resolution (P.L. 93-148), passed over the veto of the President on November 7, 1973, to place a check on the President's use of troops in hostilities in the

absence of a declaration of war. While the final sanction was a requirement for congressional action if such hostilities were continued more than 60 days, reporting requirements were made the backbone of the plan to assure consultation with Congress.

The study also showed two other needs. First, a long-range and continuing effort was needed if reports were to be improved. Even when all agree on the objective, it takes time to define the information needed by Congress, additional time to change reports to meet new specifications, and still additional time after a report is issued to assess its usefulness in the new form. Second, the reporting requirement system was an area in which cooperation between the executive and legislative branches could result in better serving the needs of both.

Continued Monitoring

The Foreign Affairs Division is now assisting the Senate Foreign Relations and House International Relations Committees in monitoring required reports on a continuing basis. The basic tool with which the Foreign Affairs Division monitors reporting requirements is a chart containing a list of all the reporting requirements which are contained in legislation under the jurisdiction of the two committees or other legislation calling for reports which would provide information relating to foreign policy. The chart has six columns for listing (1) the legal citation, (2) a brief digest of the requirement, (3) the agency by which the report is prepared, (4) the committee or receiver in Congress, (5) the date required and (6) the date any report is received under the requirement. A sample page of this chart is attached.

From the basic chart, which has some 300 requirements, a wall chart has been devised for keeping a record of approximately 60 requirements in legislation handled by the two committees which call for reports on a regular basis or by a specific date. This wall chart makes readily apparent whether reports are available or due, or whether they are late.

In conclusion, there are two features of this project which are worth noting. First, the work has been done at the joint request of the Senate Foreign Relations and House International Relations Committees. This has permitted an economical use of the Foreign Affairs Division manpower, by serving two committees at once, as well as providing for a three-way exchange of ideas and information among the House committee, the Senate committee, and the Congressional Research Service.

Second, the work has been sustained over a long period. The committees have followed through on findings and recommendations and demonstrated their continued interest in required reports instead of dropping the subject after a brief exploration.

The Foreign Affairs Division study has dealt only with reports in the foreign affairs field, where information is a particular problem for Congress. However, many of its findings would apply to reports in all fields. The oil crisis illustrated that foreign affairs is not the only field where lack of information is a serious problem. A study for the Commission of Government Procurement found very much the same situation in regard to reporting requirements in the procurement field that existed in the foreign affairs field.

On every subject the requiring of report offers a way to generate and obtain needed information. Since the legislative requirement is the first element in this information system, it should be clear and well thought out. The second element is the report filed in response by the executive branch. Since it is the heart of this information system, it should be timely and fully responsive to the needs of Congress. The final element is the use of the report made by Congress. Since this is what determines whether the whole information system is worthwhile, it is incumbent on Congress to develop procedures to assure that the reports are fully used for the oversight and evaluation for which they were intended, or that the requirements for them are modified or deleted.

Citation	Content of Report Required	From Whom	To Whom	When	Date Submitted
		II. FOREIGN ASSISTANCE ACT			
A. Foreign Assistance Act of 1961 (P.L. 87-195), as Amended					
Sec. 110 (b)	Further justification satisfactory to the Congress		Congress	Prior to disbursal under sections 103-107 of grant assistance for a period exceeding 36 months	
Sec. 202 (c)	Provisions of agreements committing authorized funds	President	Foreign Relations and Appropriations Committees of the Senate and the Speaker of the House	Upon conclusion of each agreement	
Sec. 214 (e)	Recommendations (including recommendations concerning which agency of the United States Government should administer such assistance) as he considers desirable for assistance to schools, libraries, and hospital centers for medical education and research, outside the United States, founded or sponsored by United States citizens and serving as study and demonstration centers for ideas and practices of the United States	Secretary of State	Congress	Not later than June 30, 1974	July 5, 1974
Sec. 217	Results of study and investigation of feasibility of programs for furnishing used equipment to less developed friendly countries, and recommendations	President	Congress	At earliest practicable date	
Sec. 222A (j)	Report on Agricultural and Productive Credit and Self-Help Community Development Programs in Latin America	President	Congress	On or before Jan. 15, 1976	
Sec. 234 (a) (4) (A) and (5) (A)	In the event of inability to achieve scheduled participation of private insurance companies, reasons for such inability	Overseas Private Investment Corporation	Senate Foreign Relations and House International Relations Committees		

SELECTED REQUIRED REPORTS IN FOREIGN AFFAIRS FIELD

QUARTERLY

CITATION	REQUIREMENT	DATE DUE	PERIOD COVERED CY 1975 I	II	III	IV	CY 1976 I	II	III	IV
FOREIGN ASSISTANCE ACT OF 1961 AS AMENDED										
451(b)	Programming and obligation of the contingency fund									
451(b) (1)	Programming and obligation, on a calendar quarter basis, of funds under the International Narcotics Control chapter	not 45 days								
635(h)(1)	Programming and obligation of disaster relief funds									
635(h)	Total amount of funds obligated in, for and on behalf of Cambodia	not 30 days								
FOREIGN ASSISTANCE ACT OF 1974										
32(a)	Funds obligated for Vietnam	not 30 days after end of each quarter								
48(1)	Funds obligated for Laos	not 30 days after end of each quarter								
32(a) (4)	Global expenditure of food funds	for remainder of fiscal year 1975								
FOREIGN MILITARY SALES ACT										
36(a)	Letting of letters of offer to sell any defense articles									
FOREIGN MILITARY SALES ACT AMENDMENTS, 1971										
3(d)	Value of deliveries of arms, defense articles									

SEMI-ANNUAL

CITATION	REQUIREMENT	DATE DUE	PERIOD COVERED 1974 I	II	1975 I	II
FOREIGN ASSISTANCE ACT						
301(b)(2)	Complete and detailed report on the activities and operations carried out under the International Narcotics Control chapter	not 90 days of the end of the 2nd and 4th calendar quarters				
612(a)	Commodities report of all foreign currencies acquired without payment of dollars					
634(a)	Status of loans and guaranties under the Foreign Assistance, Foreign Military Sales, Agricultural Trade Development and Assistance, and Export-Import Acts	covering period as of June 30 and December 31				
MUTUAL DEFENSE ASSISTANCE CONTROL ACT (BATTLE ACT)						
28(b)(c)	Continuing study of export control measures of foreign governments in accordance with provisions of this act					
U.S. INFORMATION AND EDUCATIONAL EXCHANGE ACT						
603	Report of the U.S. Advisory Commission on Information					

ANNUAL

CITATION	REQUIREMENT	DATE DUE	PERIOD COVERED 1973	1974	1975
FOREIGN SERVICE BUILDINGS ACT					
9(b)	Transactions under authority of the act	with State Department budget estimates			
FOREIGN ASSISTANCE ACT					
240(b)(5)(b)	Complete and detailed report of the operations of the Overseas Private Investment Corp.	at end of fiscal year			
299	Food supplies and population growth in less developed countries	as recommendations for new fiscal year			
620(h)(2)(3)	Efforts to prevent diversion of resources from economic development to military purposes and to prevent arms races				
601(a)(4)(c)	Strengthened management practices in the Agency for International Development	at end of fiscal year			
634(d)	All actions which resulted in furnishing assistance substantially different than that included in annual presentation				
634(e)	Specific plan to reduce and eventually terminate grant economic assistance to each recipient	in recommendations for new fiscal year			
634(g)	Comprehensive report on debt servicing and debt relief problems	31 January			
640(b)(2)	Actions affecting the development of less developed countries and their economic import on the U.S.	during 1st calendar quarter			
653	Reimbursement of amounts of funds to be provided to each country or international organization	60 days after requirement of appropriations law			
661	Annual foreign assistance report	31 December for last fiscal year			
PEACE CORPS ACT					
11	Operations of the Peace Corps	close on each fiscal year			
DOMESTIC VOLUNTEER SERVICE ACT					
406(a)	Findings and recommendations of the National Voluntary Service Advisory Council (Peace Corps includes Peace Corps)	1 January of each calendar year			
AGRICULTURAL TRADE DEVELOPMENT AND ASSISTANCE ACT					
408	Activities carried out under act	not later than April 1			
INTERNATIONAL FINANCIAL INSTITUTIONS ACTS					
	Report of the National Advisory Council on International Monetary and Financial Policies including information on loans made by IBRD, IDA, IADB, and in OPI and components of the IFC				
INTER-AMERICAN DEVELOPMENT BANK ACT					
11(b)	Information to be included in the annual report of the SEC with regard to securities issued by the IADB				
ASIAN DEVELOPMENT BANK ACT					
11(b)	Information to be included in the annual report of the SEC with regard to securities issued by the ADB				
INTERNATIONAL CLEARING SETTLEMENT ACT					
2(c)	Operations of the International Claims Settlement Commission				
INTERNATIONAL ECONOMIC POLICY ACT					
201(a)	Report on the international economic position of the United States	no later than 45 days after the beginning of each regular session			
ARMS CONTROL AND DISARMAMENT ACT					
36	Activities of the Arms Control and Disarmament Agency	31 January			
UNITED NATIONS PARTICIPATION ACT					
4	Activities of the UN and the participation of the United States therein				
CONTRIBUTIONS TO INTERNATIONAL ORGANIZATIONS					
	Extent and disposition of U.S. financial contributions to international organizations				
L RES 74 (93-2)					
3	Progress in submitting disputes to International Court of Justice	May 98 1975 and each of two years thereafter			
U.S. INFORMATION AND EDUCATIONAL EXCHANGE ACT OF 1948					
1025	Report of the United States Information Agency				
BOARD FOR INTERNATIONAL BROADCASTING ACT					
4(a)(8)	Activities of the International Broadcasting Board and review of operations of Radio Free Europe and Radio Liberty	on or before 30 October for period ending 30 June			
MUTUAL EDUCATIONAL AND CULTURAL EXCHANGE ACT					
107	Report of the Board of Foreign Scholarships				
107	Report of the U.S. Advisory Commission on International Educational and Cultural Affairs				
108(a)	Activities and expenditures in furtherance of the purposes of the Act				
EAST WEST CENTER ACT					
703(a)	Report of the Secretary of State on his activities under the provisions of the Act				
GORGAS MEMORIAL INSTITUTE					
3	Operation and work of the Gorgas Memorial Laboratory	first week of each regular session for period ending June 30			
ACT TO INCORPORATE THE AMERICAN NATIONAL RED CROSS					
22	Report of proceedings and audits by Department of Defense	or soon as practicable after 1 July			
INTERNATIONAL BRIDGE ACT					
11	Information on approvals for construction as to included in the annual report of the Department of Transportation	as soon as possible after 30 June			

NON-RECURRING

CITATION	REQUIREMENT	DATE DUE
STATE DEPARTMENT AUTHORIZATION ACT OF 1973		
19(a)	Action with regard to U.S. aid to South Vietnam, number of executive branch personnel abroad, and cuts of DOD in-country aid programs	90 April 1975
FOREIGN ASSISTANCE ACT		
240(g)	Detailed report by OPIC on pilot programs established to encourage agricultural credit and self-help community development projects	on or before 15 January 1973
240(a)(4)	Actions taken to encourage U.S. private investment in certain foreign countries, corporations or others	1 January 1975
FOREIGN ASSISTANCE ACT OF 1973		
30(a) (4)	Findings and recommendations concerning world food shortages	31 December 1974
FOREIGN ASSISTANCE ACT OF 1974		
17(d)	Detailed plan for reduction and eventual elimination of present military assistance program	First session of 94th Congress with AID budget submission
48	Actions taken to provide developing countries of Africa with equitable share of U.S. assistance	31 July 1975, 1976 & 1977
210(j)	3 Pgm. dev. facilities for agric./rural activ.	31 July 1975, 1976 & 1977
304(a) (5)	Implementation of resolutions and recommendations of World Food Congress and U.S. participation	30 April 1975
EMERGENCY SECURITY ASSISTANCE ACT OF 1973		
5	Study by the DOD of the 1973 Arab-Israeli War to determine the effectiveness of U.S. aid in the Middle East	31 December 1974
DEFENSE DEPARTMENT AUTHORIZATION ACT OF 1975		
302(d)	Study related to the question of U.S. tactical nuclear weapons in Europe	1 April 1975
FOREIGN RELATIONS AUTHORIZATION ACT OF 1973		
608(b)	Findings and recommendations of the Commission on the Organization of the Government for the Conduct of Foreign Policy	90 June 1975
U.S. PARTICIPATION IN THE INTERNATIONAL EXPOSITION ON THE ENVIRONMENT (PL 93-000)		
5	Activities and expenditures of the federal government authorized under the Act	October 1973
L RES 79 (93-2)		
3	Study of ways of increasing access to International Court of Justice	May 30 1975
FOREIGN INVESTMENT STUDY ACT OF 1974		
14	Comprehensive and full study of foreign direct and portfolio investments in U.S.	25 October 1975 (interim) 90 April 1976 (final)

DISCUSSION

One major point was raised in the discussion following the preceding three papers. It was noted that generally the staff of the Congressional Research Service use their own independent resources and experienced judgments when developing emerging issues subject lists. However, it was acknowledged that some lists may represent a compromise and consensus of the issues raised by CRS staff and staff of respective committees who will use the lists.

["THE GENERAL ACCOUNTING OFFICE'S RESPONSIBILITIES FOR OVERSIGHT AND EVALUATION IN REFERENCE TO THE CONGRESSIONAL BUDGET AND IMPOUNDMENT CONTROL ACT"], JAMES P. OLIVER, GENERAL ACCOUNTING OFFICE

There are four phases in the Congressional Budget Process: The first begins when the President submits the current services budget by November 10. It will provide a budget based on a continuation of existing programs at the same level of effort and will take into account economic factors. It is to provide a basis for the Joint Economic Committee's review of the current services budget and submission of the economic evaluation of the budget. It also provides a basis for the standing committees to begin analyzing the programs for which they are responsible.

Next, the President submits the U.S. Budget for the ensuing fiscal year 15 days after Congress reconvenes. After the President's budget submission, all standing committees have a new responsibility. They have to submit their views on the budget to the appropriate budget committee. All committees submit their views on the budget to budget committees by March 15.

OCT.	NOV.	DEC.	JAN.	FEB.	MARCH	APRIL	MAY
			PHASE 1 NOV. 10-APRIL 15				PHASE II APRIL 16-MAY 15
SEC. 605a PRESIDENT SUBMITS CURRENT SERVICES BUDGET (BY NOV. 10)		PRESIDENT SUBMITS (S. 8) BUDGET FOR ENSUING FISCAL YEAR (15 DAYS AFTER CONGRESS RECONVENES)		SEC. 301a ALL COMMITTEES SUBMIT VEIWS ON BUDGET (TO BUDGET COMMITTEES BY MARCH 15)			
	SEC. 605B JOINT ECONOMIC COMMITTEE'S REVIEW OF CURRENT SERVICE BUDGET AND SUBMISSION OF ECONOMIC EVALUATION OF BUDGET. (TO BUDGET COMMITTEES BY DEC. 31)			SEC. 202F CONGRESSIONAL BUDGET OFFICE SUBMITS REPORT (TO BUDGET COMMITTEES BY APRIL 1)			
				SEC. 301d BUDGET COMMITTEE SUBMITS FIRST CONCURRENT RESOLUTION (TO EACH HOUSE BY APRIL 15)		SEC. 301a CONGRESS COMPLETES ACTION ON FIRST CONCURRENT RESOLUTION (BY MAY 15)	
						SEC. 402a REPORTING OF AUTHORIZING LEGISLATION (ON OR BEFORE MAY 15)	
						SEC. 607 ADVANCE REQUESTS FOR AUTHORIZING LEGISLATION (ON OR BEFORE MAY 15)	

MAJOR EVENTS IN THE
CONGRESSIONAL BUDGET CYCLE

Committee Reports For The Budget Committees

- The act requires that reports concerning the budget be prepared by every standing committee of both houses by March 15.

- These reports are to be submitted to the committees on the budget of both houses and are to include each committee's views and estimates with respect to the content of the proposed concurrent resolution on the budget as it relates to matters within their jurisdiction.

- Estimates are to be submitted of the total amounts of new budget authority, and budget outlays resulting thereform, to be provided or authorized in all bills and resolutions within the jurisdiction of the committee for the ensuing fiscal year.

The report is particularly important for the authorizing committees since it represents their opportunity to justify the value of their programs. We anticipate that they will want program evaluation information for this purpose.

The Congressional Office submits a report to the budget committees by April 1. The report includes 5 year projections and a discussion of national priorities and alternatives.

After getting the input from committees and the Congressional Budget Office, each budget committee submits its proposed concurrent resolution by April 15. The scope of the concurrent resolution is important -- Notice point (2) -- This, in effect, is Congress's view on national priorities.

First Concurrent Resolution

(1) The appropriate level of total budget outlays and of total new budget authority;

(2) An estimate of budget outlays and an appropriate level of new budget authority for each major functional category, for contingencies, and for undistributed intragovernmental transactions, based on allocations of the appropriate level of total budget outlays and of total new budget authority;

(3) The amount, if any, of the surplus or the deficit in the budget which is appropriate in light of economic conditions and all other relevant factors;

Notice point (5) -- This has been almost exclusively an executive initiative in the past.

For Congress to develop a meaningful concurrent resolution, it is going to need good information, including program evaluations, and it will need it early in the session.

The April 15 submission of the first resolution completes Phase 1 of the budget process. Phase 2 starts with debate in both Houses under stringent time limitation leading to --

First Concurrent Resolution Continued

(4) The recommended level of federal revenues and the amount, if any, by which the aggregate level of federal revenues should be increased or decreased by bills and resolutions to be reported by the appropriate committees;

(5) The appropriate level of the public debt, and the amount, if any, by which the statutory limit on the public debt should be increased or decreased by bills and resolutions to be reported by the appropriate committees; and

(6) Such other matters relating to the budget as may be appropriate to carry out the purposes of this act.

Completion of congressional action on the first concurrent resolution by May 15.

Also required by May 15 is the reporting of all authorizing legislation.

In future years it will be easier for the authorizing committees to make this deadline since the act requires the executive to make advance requests for authorizing legislation on or before May 15. For example, on May 15, 1975, the executive branch must submit its fiscal year 1977 authorization requests.

Phase 3 of the budget process begins May 16. It consists of review and enactment of spending bills.

There is also additional input from the executive branch at two points in time. The President may transmit an amended budget on or before April 10 and July 15.

Congress's review and enactment process continues through the summer until it completes action on new budget authority. This is required by the seventh day after Labor Day.

Then, Congress completes action on the second concurrent resolution by September 15, directing committees concerned to take required action. Phase 4 between Sept. 16 and Sept. 25 consists of taking whatever action is required to complete action on a reconciliation bill by Sept. 25.

The budget process is to be completed 5 days before the new fiscal year begins.

MAY JUNE JULY AUG. SEPT. OCT.

PHASE III — PHASE IV

MAY 16-SEPT. 15

REVIEW AND ENACTMENT
OF SPENDING BILLS

SEPT. 16
SEPT. 25

REASSESSMENT AND ENACTMENT
OF RECONCILIATION BILL

SEC. 601g
PRESIDENT TRANSMITS
AMENDED BUDGET
(ON OR BEFORE APRIL 10, JULY 15)

SEC. 309
CONGRESS COMPLETES
ACTION ON NEW BUDGET
AUTHORITY
(SEVENTH DAY AFTER LABOR DAY)

MAJOR EVENTS IN THE
CONGRESSIONAL BUDGET CYCLE

SEC. 301b CONGRESS COMPLETES
ACTION ON SECOND CONCURRENT
RESOLUTION (BY SEPT. 15)

SEC. 301c, (CONGRESS COMPLETES
ACTION ON RECONCILIATION BILL
(BY SEPT. 25)

The Congressional Information Services Group in the Financial and General Management Studies Division has been organized to assist in providing this information. The group has established five missions to be performed --

For This Process To Work And Produce Better Budgets In Support Of National Needs, Information Must Be Provided To:

- Congressional Budget Committees
- Appropriations Committees
- Other Committees
- Congressional Budget Office
- General Accounting Office

There are staff activities addressing these missions. Some activities participate in all missions; others do not as indicated.

CONGRESSIONAL INFORMATION SERVICES GROUP
Staff Activities

MISSIONS	PROGRAM INFORMATION		PROGRAM EVALUATION				
	REQUIRE-MENTS	STANDARD-IZATION	DATA	METHODS	INFOR-MATION	SYNTHESIS	TRAINING
DEVELOPMENT OF INFORMATION STRUCTURES AND EVALUATION METHODS	XXXXXXX	XXXXXXXX	XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
	XXXXXXX	XXXXXXXX	XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
	XXXXXXX	XXXXXXXX	XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
IMPROVEMENT IN REPORTING TO THE CONGRESS OF INFOR-MATION AND EVALUATIONS	XXXXXX	XXXXXXXX	XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
	XXXXXX	XXXXXXXX	XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
	XXXXXX	XXXXXXXX	XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
COOPERATE WITH EXECUTIVE BRANCH IN IMPROVING INFOR-MATION SYSTEMS AND EVALUA-TION PROCESSES	XXXXXX	XXXXXXXX	XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
	XXXXXX	XXXXXXXX	XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
	XXXXXX	XXXXXXXX	XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
IMPROVEMENT IN CONGRES-SIONAL, AND GAO DIVISIONS CAPABILITIES TO ACQUIRE AND USE INFORMATION AND PROGRAM EVALUATIONS			XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	XXXXXXXX
			XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	XXXXXXXX
			XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	XXXXXXXX
			XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	XXXXXXXX
			XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	XXXXXXXX
COOPERATE IN WORK INVOLVING STATE AND LOCAL GOVERNMENT TO IMPROVE THE FLOW OF INFORMATION AND EVALUATIONS			XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
			XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
			XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	
			XXXX	XXXXXXX	XXXXXX	XXXXXXXXX	

DISCUSSION

A member of the audience asked Mr. Oliver if the GAO had already set up the OMB/GAO information system he described. He replied that the system is not yet operational because of understaffing. However the agency asked for new positions for this operation in its fiscal year 1976 budget.

"THE OFFICE OF TECHNOLOGY ASSESSMENT: A DESCRIPTION OF THE OFFICE'S OBJECTIVES AND ACTIVITIES:, GARY THOMAS, OFFICE OF TECHNOLOGY ASSESSMENT

The Technology Assessment Act of 1974 (P.L. 92-484) authorized the establishment of an Office of Technology Assessment for the Congress as an aid to the identification and consideration of existing and probable impacts of technological application.

In the legislation the Congress recognized that neither it nor the Federal agencies were designed to provide the Legislative Branch with adequate and timely information independently developed relating to the potential impact of technological application. The Office of Technology Assessment was therefore created to secure competent, unbiased information concerning the physical, biological, economic, social, and political effects of the increasingly extensive and larger applications of technology. This information is then to be used as one factor in the decision-making process in the Legislative Branch, particularly in those areas where Congress must reach judgments on technological applications and issues having technological implications.

As created by the legislation, the Office of Technology Assessment (OTA is an agency within and responsible to the Legislative Branch of the Government. Prior to the establishment of OTA, the General Accounting Office was the last legislative office created by the Congress; it was established in 1921. Since the establishment of OTA, a fourth legislative agency, the Congressional Budget Office, has been established.

The basic function of OTA is to provide, on a timely and independent basis, "early indications of the probable beneficial and adverse impacts of the applications of technology and to develop other coordinate informatic

which may assist the Congress." Eight specific activities are listed below which are identified in the legislation as the means of carrying out this function. The Office is required to:

(1) Identify existing or probable impacts of technology or technological programs;

(2) where possible, ascertain cause-and-effect relationships;

(3) identify alternative technological methods of implementing specific programs;

(4) identify alternative programs for achieving requisite goals;

(5) make estimates and comparisons of the impacts of alternative methods and programs;

(6) present findings of completed analyses to the appropriate legislative authorities;

(7) identify areas where additional research or data collection is required to provide adequate support for the assessments and estimates described above;

(8) undertake such additional associated activities as the appropriate authorities may direct.

The OTA statute specifies that OTA shall consist of a non-partisan Congressional policy Board, an OTA Director and Deputy Director, a citizens Advisory Council, and such other employees and consultants as may be necessary in the conduct of OTA's work. The Congressional Board sets the policies of the Office and is the sole and exclusive oversight body governing OTA. The OTA Director is the chief executive officer and is responsible solely to the Board, of which he is a member. The function

of the Advisory Council is to advise on such technology assessment matters as may be requested by the Congressional Board.

OTA's Congressional Board comprises six Senators and six Representatives, evenly divided by party, who are appointed respectively by the President Pro Tempore of the Senate and the Speaker of the House. The current Board Chairman is Congressman Olin E. Teague of Texas and the Vice Chairman is Senator Clifford P. Case of New Jersey. The two posts rotate between the SEnate and House in alternate Congresses with the chairman chosen from the majority party, and the vice chairman chosen from the minority party.

The Director of OTA is Emilio Q. Daddario, a former member of Congress who was instrumental in the development of the Technology Assessment Act. The Deputy Director is Daniel De Simone, a former White House science policy assistant. The Chairman of the citizens advisory council is Harold Brown, President of the California Institute of Technology. The Vice Charman is Edward Wenk, Jr., of the University of Washington.

There have also been established for each of the assessment programs underway Advisory Committees of distinguished and knowledgeable experts regarding the specific issues being addressed by OTA for the Congress.

* * * *

When the Technology Assessment Board met in early 1974 to begin its work, having previously contacted each of the Congressional Committees, it found a number of priority issues before it. The following is a list of illustrative topics that emerged at that time:

Energy Policy --

Impact of energy costs on food production and technological strategies.

An assessment of the implications of existing projections of energy resources and requirements; feasible and forecasted technologies compared with these energy projections.

Opportunities for conservation of energy; evaluation of the trade-offs among different kinds of conservation, and between conservation and expanded production capacity.

Implications of large tankers, deep water ports, large storage capacity, and related technologies.

Alternatives to gasoline for automotive power plants: hydrogen, methane, methanol, and other possibilities.

Off-shore drilling for gas and oil and alternative sources of hydrocarbon fuels: e.g., oil shale, tar sands, coal gasification.

Growth Policy --

Potential effects of modern technologies -- e.g., agricultural, industrial, sewage treatment, communications, law enforcement, transportation -- on population distribution and the growth of communities.

Competing uses of land, including technical assessment of the implications of social values in conflict.

Natural Resources --

Technological opportunities for maximizing materials utilization: sustained growth in economic value of output with reduced consumption of materials.

Recycling -- the implications of the closed cycle of materials usage.

Substitution of materials in the context of resources/requirements forecasts.

The management of all forms of materials information.

Greater use of abundant materials in energy-limited industrial systems.

The use of renewable resources for synthetic polymer; biomass as a new industrial raw material.

The management of water: ground water, surface water, and induced rainfall; purification and desalting versus cascading of uses.

The technological, economic, and political implications of the Earth Resources Satellite System: dissemination, management, and interpretation of data therefrom.

The technological aspects of foreign policy planning for the 3rd Law of the Sea Conference.

Hydrocarbons as alternative sources of protein for human and stock food.

Urban Development and Transportation --

Technologies for rapid, large-scale tunneling and excavation: their potential application and social effects.

Implications for CATV and the "wired city" concept.

Mobile home technology and its effects on public health, safety, utility services, education, security, local tax revenues, social and municipal costs (an example of "low" technology development with wide-ranging consequences).

Implications of possible shifts to various forms of mass public transportation, intra-urban and inter-urban

Municipal sewerage: disposal versus utilization. The related problem of animal waste management, disposal, and utilization.

Noise control in high density areas; trucks and airports, industrial, heavy machinery, etc.

Health Policy --

The increasing cost of health care and delivery; opportunities for technological innovation in health care delivery systems to reduce costs and improve services.

Adequacy, limitation, and utilization of scientific advice in the establishment of safety, environmental, and health standards.

Trade Policy --

Effect of international standards, measurement practices, and certification procedures on U. S. trade.

Technology as the basis for U. S. competitiveness in international trade.

Trade implications of U. S. support for the development of regional technological systems (e.g., Mekong, Rio Bermejo, Northeast Brazil).

Because OTA was just beginning its work and had limited means at its disposal, it had to be discriminating in the selection of its activities. To accomplish this, the following criteria were used:

- Can OTA make a unique contribution, or is it within the normal capabilities of a committee of the Congress to perform this assessment?

- What is the magnitude of the alleged or expected costs and benefits to society of the various technological options involved and how are these costs and benefits distributed?
- Is the technological impact irreversible?
- How imminent is this impact?
- Do we know enough to perform the assessment?
- Is it of manageable scope?
- What would the assessment cost?
- How long would it take?
- What is the likelihood of Congressional action?

The attached matrix shows most of the requests we have received and the actions taken thus far. An assessment of drug bioequivalence has been completed and other on food, solar energy, urban mass transportation, the extraction of oil and gas off the coastal United States, industrial materials, super-tankers and super-ports, health, and international trade are all in various stages of development.

To illustrate the process of technology assessment and how the assessment will assist the Congress in resolving issues with a technical content, let us consider one of the OTA assessments programs in more detail. The specific current assessment programs include energy, food, health, materials, oceans, transportation, technology and world trade, and exploratory assessments. The materials program has several assessments in progress simultaneously each of which is responsive to specific

Congressional requests. The materials assessments are related, however, and have been designed to collectively develop an overall materials program. We shall therefore choose the materials program for detailed discussion.

The OTA materials program was initiated by a study of major issues in national policy, as already identified by major study groups of national stature, and of major legislative interests in materials. The materials science and engineering community has long recognized that the cycle of materials usage, including the associated use of energy and environmental impacts, is central to civilization. Let us briefly consider this cycle because it is a fundamental concept to the OTA materials program. Materials flow through successive stages of production, use and disposal, creating an interrelatedness of raw materials, bulk materials, engineering materials, products, and waste. Some feeling for the size of materials flow in the United States is given by recognizing that the use per person per year is a total of 42,500 lbs. composed of 20,550 lbs. of nonmetallic materials, 17,300 lbs. of mineral fuels, 1,340 lbs. of metals and 2,310 lbs. of organics.

To supply this cycle in 1973 the United States imported $19 billion worth of minerals and exported $11 billion worth. The nations of the world are inextricably tied together by the flow of materials. In the words of Edmundo de Alba, they are "condemned to interdependence". Conservation of materials through more effective utilization and other means, such as recycling, will probably become increasingly urgent but will have far-reaching direct and indirect consequences on the economy, employment, etc.

Twenty two years ago the Paley report drew attention to the enormously increasing use of mineral raw materials, to the problem of meeting demand in the future, and to the need for conservation of materials. The world-wide boom of the 60's and 70's, fueled by inexpensive petroleum, obscured this underlying need. Discussion of the need for conservation and effective utilization of materials did continue but without the urgency of immediate shortages. Urgency began to develop in the early 70's, however, as shortages began to occur and rose to a high level with the occurrency of the OPEC petroleum embargo and the threat of similar actions for other materials. Thus, by mid-1973 there was widespread recognition that the United States had a general, serious and long-term problem with supplies of essential fuel materials and other raw materials. This problem was felt most acutely in the case of the absolute, though temporary, shortage of oil, but it was felt also in the form of higher prices for other raw materials. Considering the total materials cycle again we would expect shortage in fuel or other materials at the beginning of the cycle to have consequences throughout the cycle as has indeed happened. These intermediate stage shortages are not entirely caused by raw materials shortages but also by limited productive capacity which in turn is tied to economic gactors. The entire system is under pressure from the rising cost of energy and theneed to reduce pollution. Still another pressure on the system is increasingly felt at the disposal end because availability of land for waste disposal is decreasing and the cost of disposal is increasing. Indeed, this is one of the principal driving forces for increased recycling. The question of reconciling the

need for accessibility to minerals with other uses of land and for preservation of the environment puts still another pressure on the system.

In developing a program of technology assessments on materials, the Office of Technology Assessment has proceeded in stages. The first step was the development of a prospectus for materials assessments based on the study mentioned above. This prospectus was prepared with the assistance of the Congressional Research Service. The second step was to have the Materials prospectus reviewed by the Technology Assessment Advisory Council and by the Materials Advisory Committee. The committee members are:

Earl H. Beistline
University of Alaska

Seymour L. Blum
Mitre Corporation

James Boyd
Materials Associates

Lloyd M. Cooke
Union Carbide Corp.

Frank Fernbach
United Steelworkers of America

Edwin A. Gee
E. I. De Pont de Nemours and Co., Inc.

Bruce Hannay
Bell Telephone Laboratories

Bruce Hannon
University of Illinois

William J. Harris, Jr.
Association of American Railroads

Julius Harwood
Ford Motor Company

Harry H. Herman, Jr.
Consulting Engineer

James A. Kent
Michigan Technological Univ.

Hans H. Lansberg
Resources for the Future

Elburt F. Osborn
Carnegie Institution of Washington

R. Talbot Page
Resources for the Future

Nathan E. Promisel
Consultant

Lois Sharpe
League of Woman Voters

George A. Watson
Ferroalloys Association

Jack H. Westbrook
General Electric Company

Also, a conference on National Materials Policy was organized by the Federation of Materials Societies to deal with some of the issues raised in the Materials prospectus. This conference was held at Henniker, New Hampshire in August 1974. A series of workshops reported their recommendations including:

- Improved management of existing materials information systems;
- The need for a national stockpile of materials;
- Economic and institutional barriers to innovation should be removed;
- Motivation should be provided to encourage materials conservation in the design stage;
- Barriers to materials recycling should be overcome by strong economic incentives and effective institutional arrangements;
- Some materials goals are shared by all countries and should provide the basis for concerted international program;
- There was a need for a permanent national materials commission;
- Consideration should be given to organizing a World Materials Year.

The third step was to have a Materials Committee adopt a set of goals for the overall strategy of the materials assessments program and develop a recommended list of individual assessments. The Committee decided to accept the goals of the National Commission on Materials Policy as a broad strategy. These goals are:

(1) Provide adequate energy and materials supplies to satisfy not only the basic needs of nutrition, shelter and health, but a dynamic economy without indulgence in waste. The

other general goals of the NCMP support this primary goal and suggest a framework of policy constraints.

(2) Rely on market forces as a prime determinant of the mix of imports and domestic production in the field of materials but at the same time decrease and prevent wherever necessary a dangerous and costly dependence on imports.

(3) Accomplish the foregoing objectives while protecting or enhancing the environment in which we live.

(4) Conserve our material resources and environment by treating waste materials as resources and returning them either to use or, in a harmless condition, to the ecosystems.

(5) Institute coordinated resource policy planning which recognizes the interrelationships among materials, energy, and the environment.

With these goals in mind and with the entire materials cycle under consideration, the materials advisory committee recommended the following list of assessments on September 20, 1974:

(1) Devise materials information systems for reliable input to policymaking.

(2) Establish a national stockpile policy.

(3) Stimulate efforts to hasten materials recycling.

(4) Develop means to encourage and assist manufacturing industries to us materials in fabricating products employing materials more effectively.

(5) Manage materials so as to conserve energy, but in a manner to minimize economic and social dislocation.

(6) Expand and strengthen domestic minerals industry.

(7) Stimulate education, research and development in the mineral extraction and processing fields.

(8) Assess the interaction of environmental concerns with effective utilization and production of materials.

(9) Manage materials so as to conserve materials, but in a manner to minimize economic and social dislocation.

(10) Examine land use in relation to laws regarding mineral exploration and production.

Assessments on materials information systems and on national stockpile policy are now underway. Assessments are also being designed in the areas of: a) resource recovery, materials recycling and reuse, and b) institutional constraints on domestic mineral accessibility and c) c) conservation of materials. Further assessments on other aspects of the cycle of materials use are under consideration.

These assessments were developed in response to Congressional requests. These requests included not only the first set received early in 1974, but also a later set which were received after the Materials Advisory Committee's recommendations and dreq upon these recommendations. These latter were more specific requests within the broad areas described in the first cycle of requests for materials assessments.

The House Science and Astronautics Committee, which has since become the House Science and Technology Committee, made a broad request. In their first letter, dated January 22, 1974, Chairman Teague and

ranking minority member Mosher emphasized four areas for possible OTA study, including a technological data base for Congress and research and development programs to lessen United States dependence on importation of critical materials. In their second letter, dated December 13, 1974, they specifically requested studies of 1) materials information systems, 2) national stockpile options, and 3) reuse of materials.

The Senate Commerce Committee, in a letter from Senator Magnuson dated January 24, 1974, requested studies of the solid waste problem including 1) reduction of waste at the source, 2) recycling and resource recovery, and 3) energy recovery.

Representative Morris Udall, a member of the Technology Assessment Board, in a letter dated September 19, 1974, raised several questions to be answered by assessments:

> "What means do we have to deal with impending resource scarcities? What kind of roles will such methods as substitution of new materials for scarce ones, rationing, altered pricing systems, reuse and recycling, new efficient production technologies and new regulations governing land use play under these conditions?"

Senator Ted Stevens, a member of the Technology Assessment Board, requested a study of mineral accessibility in a letter dated November 6, 1974.

In addition to the interest in materials shown by these specific requests to OTA, there is widespread Congressional interest in materials.

As Chairman of the Senate Commerce Committee, Senator Warren Magnuson in a letter dated January 15, 1975, endorsed a request by Senator John Tunney for a study of means of conserving materials through reducing wastage of materials by reducing corrosion and other wastage processes. Senator Magnuson asked for: "1) an assessment of the kinds and amounts of materials wastage; 2) techniques for reducing wastage; and 3) technical and institutional impediments to applying these techniques."

Over 140 separate bills on Materials were introduced into the 93rd Congress in the areas of Materials management, Materials recycling, Materials shortages, and Materials stockpiling. One bill which subsequently became law established the National Commission on Supplies and Shortages.

The Materials Information System and National Stockpile Assessment are pertinent to this Commission which was established by Public Law 93-426 on September 30, 1974. The Commission was required to make recommendations, no later than March 1, 1975,

> "with respect to institutional adjustments, including the advisability of establishing an independent agency, to provide for a comprehensive data and storage system, to aid in examination and analysis of the supplies and shortages in the economy of the United States and the rest of the world."

Until June 30, 1975, the Commission may make such other reports and recommendations as it thinks appropriate. The Congressional findings

which led to the establishment of the Commission were as follows:

1. The United States is increasingly dependent on the importation from foreign nations of certain natural resources vital to commerce and the national defense.

2. Nations that export such resources can alone or in association with other nations arbitrarily raise the prices of such resources to levels which are unreasonable and disruptive of domestic and foreign economies.

3. Shortages of resources and commodities are becoming increasingly frequent in the United States, and such shortages cause undue inconvenience and expense to consumers and a burden on interstate commerce and the Nation's economy.

4. Existing institutions do not adequately identify and anticipate such shortages and do not adequately monitor, study, and analyze other market adversities involving specific industries and specific sectors of the economy.

5. Data with respect to such shortages and adversities is collected in various agencies of the Government for various purposes, but is not systematically coordinated and disseminated to the appropriate agencies and to the Congress. 38/

The dates have apparently been changed to June 30 and December 31, respectively.

The OTA accordingly proposes to assess pertinent features of materials information systems in terms of their past, present, and expected stages of development. Major deficiencies in the existing information systems should be identified and alternatives for their

38/(See section 720 of the Defense Production Act of 1950 as amended, 50 U.S. C. App. 2169. The portions quoted above are subsections (h) and (b) attachment 1).

removal described and evaluated. The establishment of a materials information system may call for the creation of a new comprehensive information system, expansion of the present activities, or the establishment of an institution charged with insuring efficient and effective use of existing systems.

The law establishing the National Commission on Supplies and Shortages also charges the Commission to report

> "necessary legislative and administrative actions to develop a comprehensive strategic and economic stockpiling and inventories policy which facilitates the availability of essential resources" (sec. 720 (q)(5) of the Defense Production Act of 1950 as amended; 50 USC App. 2169. Underlining supplied).

Accordingly, the OTA proposes to examine the consequences of alternative national stockpile policies. The possible uses of a national stockpile for broader public purposes, in addition to the limited national security purposes for which the "Strategic and Critical Materials Stockpile" was established, will be assessed.

The problem is to identify and define the purposes that could be served by a Government-managed or Government-financed institution that bought, held, perhaps upgraded, and sold selected materials; to determine the criteria governing the management and operation of such an institution; to explore and report on the direct and indirect consequences of such

operation; to identify ways of enhancing favorable consequences and ways of mitigating or avoiding unfavorable consequences; and to assess options and alternatives in the design and operation of various institutional arrangements for performing the function in question.

The second assessment, on national stockpile policy, will examine the attributes and consequences of alternative national stockpile policies. The possible uses of a national stockpile for broader purposes than the limited national security purposes for which the "Strategic and Critical Materials Stockpile" was established, will be assessed.

This assessment started in March, 1975; the final report is due in September, 1975.

The third assessment, on resource recovery, materials recycling and reuse, will examine the institutional barriers to, and incentive for, achieving substantial resource recovery from urban refuse using the best current technology. To accomplish this task, assessments of interrelationships among (1) technology requirements, (2) economics, (3) institutional barriers and incentives, and (4) social factors will be made. The assessment will include consideration of barriers to policy-making and to decision-making as well as to operational implementation of resource recovery technology.

The fourth assessment, on institutional constraints on domestic

mineral accessibility, will consider the potential effects of modifying the structure of Federal laws and other institutional factors affecting the accessibility of domestic mineral resources. This study will include consideration of all steps leading to and including the application of technology for the purposes of mineral exploration, development, extraction, processing, and delivery.

The fifth proposed assessment, on Conservation of Materials through reduced wastage, will examine types of materials wastage such as corrosion and wear. Estimates of the magnitude of loss will be made and estimates of the savings which could be accomplished through improved design and through application of protective procedures in use. The impacts of reduced wastage will be assessed including estimated impacts on the economy and on employment.

ASSESSMENT REQUESTS BY COMMITTEE
FOR THE PERIOD DECEMBER 1973 THROUGH MARCH 1975

House Committee on Agriculture

2/13/75 Chairman Foley requests assessment of feasibility of using rice-blended food products as material eligible for export under Title II of the P.L. 480 program.

House Committee on Appropriations

* 11/19/74 Chairman Mahon, on behalf of Chairman McFall and Ranking Minority Member Conte of the Subcommittee on Transportation Appropriations, requests a technology assessment with regard to automobile crash recorders.

House Committee on Foreign Affairs

1/18/74 Chairman Morgan suggests assessments concerning:
1) Arms control
2) Food
3) Technology transfer
4) Population/family planning

House Committee on Judiciary

**12/19/73 Chairman Rodino requests assessment of:
** 1) Existing offshore oil and gas operations
** 2) Effects of tripling present acreage of leases for oil and gas production on Outer Continental Shelf
3) Detailed assessment of oil and gas operations on Outer Continental Shelf

House Committee on Merchant Marine and Fisheries

3/15/74 Chairman Sullivan, jointly with Chairman Teague, Committee on Science and Technology, express interest in assessment of international shipping, including:
1) Fundamental shipping technology
2) Utilization of nuclear technology
3) Airfoil techniques
4) Fast sailing vessels

**4/3/74 Chairman Sullivan requested assessments concerning:
**1) Exploration and exploitation of resources of Continental Shelf and deep seabed beyond
**2) Fisheries
3) Aquaculture and mariculture
4) Oceans pollution - monitoring
5) Oceans pollution - removal
6) Submersible vessels
7) Undersea habitats

* Assessments currently being performed

** Assessments planned for FY 1975 and 1976

* 9/18/74 Chairman Sullivan expresses interest in TAAC National Growth Policy Study and Committee's deep interest in long-term growth and its implications.

3/7/75 Chairman Sullivan and Ranking Minority Member Ruppe request assessment of alternatives to unregulated ocean dumping and current status of related research and development.

House Committee on Public Works

1/23/74 Chairman Blatnik suggests following areas of interest:
1) National public investment policy and population distribution
2) Transportation policy
3) Water resources
4) Pollution abatement

House Committee on Science and Technology

** 1/22/74 Chairman Teague and Ranking Minority Member Mosher request assessments concerning:
** 1) Energy R & D
2) Technology data bank
3) Materials R & D
4) Technology of unemployment

3/15/74 Chairman Teague, jointly with Chairman Sullivan of the Committee on Merchant Marine and Fisheries, expresses strong interest in international shipping, including:
1) Fundamental shipping technology
2) Utilization of nuclear technology
3) Airfoil techniques
4) Fast sailing vessels

* 12/13/74 Chairman Teague and Ranking Minority Member Mosher update of previous request of 1/22/74, with emphasis on assessments involving:
* 1) Materials
* a) information system
* b) national stockpile
* c) reuse
**2) Five-year R&D

* 12/17/74 Chairman Teague and Ranking Minority Member Mosher request, or emphasize urgency of, assessments involving:
* 1) Planning and programming energy R&D - as contained in required ERDA reports.
2) Identifying size of energy resources and unassociated uncertainties
3) Materials technology and availability
*4) Tracking energy studies and data
* 5) Uncertainties which inhibit development of new energy technologies

House Committee on Ways and Means

** 1/29/75 Chairman Ullman, jointly with Ranking Minority Member Schneebeli and Chairman Rostenkowski and Ranking Minority Member Pettis of the Subcommitte on Health, requests assessments concerning:
** 1) Medical malpractice
**2) Long-term medical care
3) Adverse drug reactions

Senate Committee on Aeronautical and Space Sciences

* 1/21/74 Chairman Moss, acting for Senator Goldwater, requests assessment concerning solar energy.

** 10/10/74 Chairman Moss requests assessment of means of determining research and development priorities.

Senate Committee on Agriculture and Forrestry

**6/25/74 Chairman Talmadge requests assessment of use of broadband two-way telecommunications in rural areas.

Senate Committee on Appropriations

* 2/15/74 Chairman McClellan, on behalf of Chairman Byrd and Ranking Minority Member Case of the Transportation Subcommittee, requests assessments concerning automation in urban rapid transit.

* 9/27/74 Chairman McClellan, on behalf of Chairman Byrd and Ranking Minority Member Case of the Transportation Subcommittee, requests expansion of mass transit assessment.

Senate Committee on Commerce

* 1/14/74 Senator Hollings' National Oceans Policy Study requests assessments concerning:
* 1) Impact of technology on coastal zone
2) Ocean engineering technology
** 3) Fisheries
* 4) Deepwater ports
** 5) Ocean mining
6) Weather modification
7) Acquaculture
8) Oceans monitoring

* 1/24/74 Chairman Magnuson suggests assessments concerning:
1) Energy savings in manufacturing
2) Safety in disposal of nuclear waste
* 3) Resource and energy recovery
4) Upgrading railroad tracks
* 5) Oceans technology, including
** a) fisheries
* b) deepwater ports
6) Retrofitting offices and residences for energy savings
7) Alternative energy sources for autos
8) Mutagenic testing
9) Detergents
10) Predator poisons
11) Population and conservation taxes

* 2/11/74 Senator Hollings' National Oceans Policy Study requests assessment on utilization of U.S. Continental Shelf.

* 8/13/74 Chairman Magnuson, jointly with Chairman Hollings of Subcommittee on Oceans and Atmosphere, request assessment of:
*1) National growth policy
*2) Projected effect of economic and demographic growth of coastal zone.

10/10/74 Chairman Magnuson, acting for Chairman Tunney of the Subcommittee on Science, Technology and Commerce, requests assessment of computer managed technology

10/17/74 Chairman Hart of the Subcommittee on the Environment requests assessment of cost and benefit of environmental protection regulations and equipment on the automobile industry.

** 1/15/75 Chairman Magnuson, acting for Senator Tunney, recommends assessment involving materials wastage.

* 1/23/75 Chairman Magnuson, jointly with Chairman Jackson, Committee on Interior and Insular Affairs, requests assessment of feasibility of separating consideration of leasing for exploration from leasing for development and production on Outer Continental Shelf.

** 2/19/75 Chairman Magnuson, on behalf of Senator Tunney, requests comprehensive assessment of technology and world trade.

3/20/75 Chairman Magnuson and Ranking minority Member Pearson, jointly with Senators Hartke and Weiker, Chairman and Ranking Minority Member of the Surface Transportation Subcommittee, request review of U.S. Railway Association plan for reorganization of rail service in the 17 state region covered by the Regional Rail Reorganization Act of 1973, and the issues it raises about the future of rail service in this region

Senate Committee on Foreign Relations

* 9/19/74 Chairman Fulbright, acting for Chairman Muskie and Ranking Minority Member Case of the Subcommittee on Arms Control, International Law and Organization, requests an assessment of the the accuracy of DOD estimates of potential effects of limited nuclear warfare on U.S. society.

Senate Committee on Finance

2/27/75 Chairman Long, on behalf of Senator Talmadge, Chairman of the Subcommittee on Health, requests assessment of:
1) Physician's fees
2) Hospital Out-Patient Service

Senate Committee on Interior and Insular Affairs

* 12/30/74 Chairman Jackson indicates need for comprehensive assessment of energy technology and joins request of House Committee on Science and Technology for that purpose.

* 1/23/75 Chairman Jackson, jointly with Chairman Magnuson, Committee on Commerce, requests assessment of feasibility of separating consideration of leasing for exploration from leasing for development and production on Outer Continental Shelf.

Senate Committee on Labor & Public Welfare

**12/11/74 Chairman Williams, jointly with Senator Javits and Congressmen Rogers, Nelsen, and Carter of the House Subcommittee on Public Health and Environment, Committee on Interstate and Foreign Commerce, request assessments in:
**1) Spiraling costs of health care
2) Uneven quality of health care

** 2/6/75 Chairman Williams, on behalf of Chairman Kennedy and Ranking Minority Member Javits of the Health Subcommittee, requests technology assessments on the following:
**1) Cost and quality of clinical laboratories
2) Medical record information requirements
**3) Cost control studies, i.e., effect of regulation of price, effect of deductibles and coinsurance on utilization of health care, efficacy of new technology and procedures, productivity measures, and cost of administering health insurance.

Senate Committee on Public Works

1/29/75 Chairman Randolph requests assessment of Federal assistance to energy and coal research facilities in Appalachia and West Virginia.

Senate Select Committee on Nutrition and Human Needs

** 2/7/75 Chairman McGovern asks OTA to determine whether protein is being wasted by being fed as grain to livestock, and if so, what government policy changes are necessary to remedy this waste.

Joint Economic Committee

9/10/74 Chairman Patman, acting for Chairman Bentsen of the Subcommittee on Economic Growth, requests assessment of industrial innovation in enhancing productivity and constraining prices with respect particularly to:
1) Housing
2) Power generation
3) Transportation
4) Basic metals and machine tools

2/11/75 Chairman Humphrey requests assessment of feasibility of improving and enlarging defense research and production facilities.

2/28/75 Chairman Humphrey and Representative Reuss, Chairman of the Subcommittee on International Economics, request a comprehensive study of technology and world trade with assessments of policy options to strengthen international trade position.

Technology Assessment Board

*1/22/74 Senator Humphrey suggests assessments concerning:
*1) Agricultural information
a) use of ERT satellites in agriculture
2) Fertilizer
3) Food processing and storage
4) Farm-to-market roads

* 9/19/74 Congressman Udall suggests assessment of a proposed National Growth Policy.

* 11/6/74 Senator Stevens suggests topic of accessibility of mineral resources for assessment.

* 11/7/74 Senator Humphrey suggests assessment of priorities in federally supported research and development.

2/26/74 Senator Schweiker requests review of U.S. Railway Association's conrail plan.

Other Members of the Congress

1/7/74 Congressman Wyman recommends for consideration Federally-assisted private corporations to develop a commercially feasible process for making gas and oil from coal.

1/28/74 Senator Hartke proposes consideration of impact of technology on future growth and development of the Nation.

1/28/74 Congressman Vanik requests data concerning reduced energy consumption attributable to winter Daylight Savings Time.

1/29/74 Congressman Perkins suggests the problem of outdated statistical information as area of concern.

2/14/74 Congressman Whitten, making no specific request, calls attention to work in the following areas:
1) Food and Drug assessment of need for Delaney clause
2) Study of future lab needs for Food and Drug
3) Appropriation to National Academy of Sciences to evaluate programs of Environmental Protection Agency.

11/21/74 Congressman Aspin suggests as area for assessment the dangers involved in use of aerosols.

12/3/74 Congressman Pickle requests study of dangers imposed by use of freon in aerosol cans.

2/10/75 Congressman Wolfe requests analysis of study made on atmospheric effects of a fleet of supersonic transports.

Public Law 92-484
92nd Congress, H. R. 10243
October 13, 1972

An Act

86 STAT. 797

To establish an Office of Technology Assessment for the Congress as an aid in the identification and consideration of existing and probable impacts of technological application; to amend the National Science Foundation Act of 1950; and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "Technology Assessment Act of 1972". Technology Assessment Act of 1972.

FINDINGS AND DECLARATION OF PURPOSE

SEC. 2. The Congress hereby finds and declares that:

(a) As technology continues to change and expand rapidly, its applications are—

(1) large and growing in scale; and

(2) increasingly extensive, pervasive, and critical in their impact, beneficial and adverse, on the natural and social environment.

(b) Therefore, it is essential that, to the fullest extent possible, the consequences of technological applications be anticipated, understood, and considered in determination of public policy on existing and emerging national problems.

(c) The Congress further finds that:

(1) the Federal agencies presently responsible directly to the Congress are not designed to provide the legislative branch with adequate and timely information, independently developed, relating to the potential impact of technological applications, and

(2) the present mechanisms of the Congress do not and are not designed to provide the legislative branch with such information.

(d) Accordingly, it is necessary for the Congress to—

(1) equip itself with new and effective means for securing competent, unbiased information concerning the physical, biological, economic, social, and political effects of such applications; and

(2) utilize this information, whenever appropriate, as one factor in the legislative assessment of matters pending before the Congress, particularly in those instances where the Federal Government may be called upon to consider support for, or management or regulation of, technological applications.

ESTABLISHMENT OF THE OFFICE OF TECHNOLOGY ASSESSMENT

SEC. 3. (a) In accordance with the findings and declaration of purpose in section 2, there is hereby created the Office of Technology Assessment (hereinafter referred to as the "Office") which shall be within and responsible to the legislative branch of the Government.

(b) The Office shall consist of a Technology Assessment Board (hereinafter referred to as the "Board") which shall formulate and promulgate the policies of the Office, and a Director who shall carry out such policies and administer the operations of the Office. Technology Assessment Board.

(c) The basic function of the Office shall be to provide early indications of the probable beneficial and adverse impacts of the applications of technology and to develop other coordinate information which may assist the Congress. In carrying out such function, the Office shall: Duties.

(1) identify existing or probable impacts of technology or technological programs;

86 STAT. 798

(2) where possible, ascertain cause-and-effect relationships;

(3) identify alternative technological methods of implementing specific programs;

(4) identify alternative programs for achieving requisite goals;

(5) make estimates and comparisons of the impacts of alternative methods and programs;

(6) present findings of completed analyses to the appropriate legislative authorities;

(7) identify areas where additional research or data collection is required to provide adequate support for the assessments and estimates described in paragraph (1) through (5) of this subsection; and

(8) undertake such additional associated activities as the appropriate authorities specified under subsection (d) may direct.

(d) Assessment activities undertaken by the Office may be initiated upon the request of:

(1) the chairman of any standing, special, or select committee of either House of the Congress, or of any joint committee of the Congress, acting for himself or at the request of the ranking minority member or a majority of the committee members;

(2) the Board; or

(3) the Director, in consultation with the Board.

Information, availability.

(e) Assessments made by the Office, including information, surveys, studies, reports, and findings related thereto, shall be made available to the initiating committee or other appropriate committees of the Congress. In addition, any such information, surveys, studies, reports, and findings produced by the Office may be made available to the public except where—

(1) to do so would violate security statutes; or

(2) the Board considers it necessary or advisable to withhold such information in accordance with one or more of the numbered paragraphs in section 552(b) of title 5, United States Code. 81 Stat. 54.

TECHNOLOGY ASSESSMENT BOARD

Membership.

SEC. 4. (a) The Board shall consist of thirteen members as follows:

(1) six Members of the Senate, appointed by the President pro tempore of the Senate, three from the majority party and three from the minority party;

(2) six Members of the House of Representatives appointed by the Speaker of the House of Representatives, three from the majority party and three from the minority party; and

(3) the Director, who shall not be a voting member.

Vacancies.

(b) Vacancies in the membership of the Board shall not affect the power of the remaining members to execute the functions of the Board and shall be filled in the same manner as in the case of the original appointment.

Chairman and vice chairman.

(c) The Board shall select a chairman and a vice chairman from among its members at the beginning of each Congress. The vice chairman shall act in the place and stead of the chairman in the absence of the chairman. The chairmanship and the vice chairmanship shall alternate between the Senate and the House of Representatives with each Congress. The chairman during each even-numbered Congress shall be selected by the Members of the House of Representatives on the Board from among their number. The vice chairman during each

Congress shall be chosen in the same manner from that House of Congress other than the House of Congress of which the chairman is a Member.

Meetings. (d) The Board is authorized to sit and act at such places and times during the sessions, recesses, and adjourned periods of Congress, and upon a vote of a majority of its members, to require by subpena or otherwise the attendance of such witnesses and the production of such books, papers, and documents, to administer such oaths and affirmations, to take such testimony, to procure such printing and binding, and to make such expenditures, as it deems advisable. The Board may make such rules respecting its organization and procedures as it deems necessary, except that no recommendation shall be reported from the Board unless a majority of the Board assent. Subpenas may be issued over the signature of the chairman of the Board or of any voting member designated by him or by the Board, and may be served by such person or persons as may be designated by such chairman or member. The chairman of the Board or any voting member thereof may administer oaths or affirmations to witnesses.

Subpena.

DIRECTOR AND DEPUTY DIRECTOR

Appointment. SEC. 5. (a) The Director of the Office of Technology Assessment shall be appointed by the Board and shall serve for a term of six years unless sooner removed by the Board. He shall receive basic pay at the rate provided for level III of the Executive Schedule under section 5314 of title 5, United States Code.

Compensation.

83 Stat. 863.

(b) In addition to the powers and duties vested in him by this Act, the Director shall exercise such powers and duties as may be delegated to him by the Board.

(c) The Director may appoint with the approval of the Board, a Deputy Director who shall perform such functions as the Director may prescribe and who shall be Acting Director during the absence or incapacity of the Director or in the event of a vacancy in the office of Director. The Deputy Director shall receive basic pay at the rate provided for level IV of the Executive Schedule under section 5315 of title 5, United States Code.

Employment restriction. (d) Neither the Director nor the Deputy Director shall engage in any other business, vocation, or employment than that of serving as such Director or Deputy Director, as the case may be; nor shall the Director or Deputy Director, except with the approval of the Board, hold any office in, or act in any capacity for, any organization, agency, or institution with which the Office makes any contract or other arrangement under this Act.

AUTHORITY OF THE OFFICE

Contracts. SEC. 6. (a) The Office shall have the authority, within the limits of available appropriations, to do all things necessary to carry out the provisions of this Act, including, but without being limited to, the authority to—

(1) make full use of competent personnel and organizations outside the Office, public or private, and form special ad hoc task forces or make other arrangements when appropriate;

(2) enter into contracts or other arrangements as may be necessary for the conduct of the work of the Office with any agency or instrumentality of the United States, with any State, territory,

or possession or any political subdivision thereof, or with any person, firm, association, corporation, or educational institution, with or without reimbursement, without performance or other bonds, and without regard to section 3709 of the Revised Statutes (41 U.S.C. 5);

(3) make advance, progress, and other payments which relate to technology assessment without regard to the provisions of section 3648 of the Revised Statutes (31 U.S.C. 529);

(4) accept and utilize the services of voluntary and uncompensated personnel necessary for the conduct of the work of the Office and provide transportation and subsistence as authorized by section 5703 of title 5, United States Code, for persons serving without compensation;

80 Stat. 498; 83 Stat. 190.

(5) acquire by purchase, lease, loan, or gift, and hold and dispose of by sale, lease, or loan, real and personal property of all kinds necessary for or resulting from the exercise of authority granted by this Act; and

(6) prescribe such rules and regulations as it deems necessary governing the operation and organization of the Office.

Recordkeeping. (b) Contractors and other parties entering into contracts and other arrangements under this section which involve costs to the Government shall maintain such books and related records as will facilitate an effective audit in such detail and in such manner as shall be prescribed by the Office, and such books and records (and related documents and papers) shall be available to the Office and the Comptroller General of the United States, or any of their duly authorized representatives, for the purpose of audit and examination.

(c) The Office, in carrying out the provisions of this Act, shall not, itself, operate any laboratories, pilot plants, or test facilities.

Agency cooperation. (d) The Office is authorized to secure directly from any executive department or agency information, suggestions, estimates, statistics, and technical assistance for the purpose of carrying out its functions under this Act. Each such executive department or agency shall furnish the information, suggestions, estimates, statistics, and technical assistance directly to the Office upon its request.

Personnel detail. (e) On request of the Office, head of any executive department or agency may detail, with or without reimbursement, any of its personnel to assist the Office in carrying out its functions under this Act.

(f) The Director shall, in accordance with such policies as the Board shall prescribe, appoint and fix the compensation of such personnel as may be necessary to carry out the provisions of this Act.

ESTABLISHMENT OF THE TECHNOLOGY ASSESSMENT ADVISORY COUNCIL

Membership. SEC. 7. (a) The Office shall establish a Technology Assessment Advisory Council (hereinafter referred to as the "Council"). The Council shall be composed of the following twelve members:

(1) ten members from the public, to be appointed by the Board, who shall be persons eminent in one or more fields of the physical, biological, or social sciences or engineering or experienced in the administration of technological activities, or who may be judged qualified on the basis of contributions made to educational or public activities;

(2) the Comptroller General; and

(3) the Director of the Congressional Research Service of the Library of Congress.

(b) The Council, upon request by the Board, shall— Duties.

(1) review and make recommendations to the Board on activities undertaken by the Office or on the initiation thereof in accordance with section 3(d);

(2) review and make recommendations to the Board on the findings of any assessment made by or for the Office; and

(3) undertake such additional related tasks as the Board may direct.

(c) The Council, by majority vote, shall elect from its members appointed under subsection (a)(1) of this section a Chairman and a Vice Chairman, who shall serve for such time and under such conditions as the Council may prescribe. In the absence of the Chairman, or in the event of his incapacity, the Vice Chairman shall act as Chairman. Chairman and Vice Chairman.

(d) The term of office of each member of the Council appointed under subsection (a)(1) shall be four years except that any such member appointed to fill a vacancy occurring prior to the expiration of the term for which his predecessor was appointed shall be appointed for the remainder of such term. No person shall be appointed a member of the Council under subsection (a)(1) more than twice. Terms of the members appointed under subsection (a)(1) shall be staggered so as to establish a rotating membership according to such method as the Board may devise. Term of office.

(e)(1) The members of the Council other than those appointed under subsection (a)(1) shall receive no pay for their services as members of the Council, but shall be allowed necessary travel expenses (or, in the alternative, mileage for use of privately owned vehicles and a per diem in lieu of subsistence at not to exceed the rate prescribed in sections 5702 and 5704 of title 5, United States Code), and other necessary expenses incurred by them in the performance of duties vested in the Council, without regard to the provisions of subchapter 1 of chapter 57 and section 5731 of title 5, United States Code, and regulations promulgated thereunder. Travel expenses. 80 Stat. 498; 83 Stat. 190. 5 USC 5701.

(2) The members of the Council appointed under subsection (a)(1) shall receive compensation for each day engaged in the actual performance of duties vested in the Council at rates of pay not in excess of the daily equivalent of the highest rate of basic pay set forth in the General Schedule of section 5332(a) of title 5, United States Code, and in addition shall be reimbursed for travel, subsistence, and other necessary expenses in the manner provided for other members of the Council under paragraph (1) of this subsection. Compensation.

UTILIZATION OF THE LIBRARY OF CONGRESS

SEC. 8. (a) To carry out the objectives of this Act, the Librarian of Congress is authorized to make available to the Office such services and assistance of the Congressional Research Service as may be appropriate and feasible.

(b) Such services and assistance made available to the Office shall include, but not be limited to, all of the services and assistance which the Congressional Research Service is otherwise authorized to provide to the Congress.

(c) Nothing in this section shall alter or modify any services or responsibilities, other than those performed for the Office, which the Congressional Research Service under law performs for or on behalf

of the Congress. The Librarian is, however, authorized to establish within the Congressional Research Service such additional divisions, groups, or other organizational entities as may be necessary to carry out the purpose of this Act.

(d) Services and assistance made available to the Office by the Congressional Research Service in accordance with this section may be provided with or without reimbursement from funds of the Office, as agreed upon by the Board and the Librarian of Congress.

UTILIZATION OF THE GENERAL ACCOUNTING OFFICE

SEC. 9. (a) Financial and administrative services (including those related to budgeting, accounting, financial reporting, personnel, and procurement) and such other services as may be appropriate shall be provided the Office by the General Accounting Office.

(b) Such services and assistance to the Office shall include, but not be limited to, all of the services and assistance which the General Accounting Office is otherwise authorized to provide to the Congress.

(c) Nothing in this section shall alter or modify any services or responsibilities, other than those performed for the Office, which the General Accounting Office under law performs for or on behalf of the Congress.

(d) Services and assistance made available to the Office by the General Accounting Office in accordance with this section may be provided with or without reimbursement from funds of the Office, as agreed upon by the Board and the Comptroller General.

COORDINATION WITH THE NATIONAL SCIENCE FOUNDATION

SEC. 10. (a) The Office shall maintain a continuing liaison with the National Science Foundation with respect to—

(1) grants and contracts formulated or activated by the Foundation which are for purposes of technology assessment; and

(2) the promotion of coordination in areas of technology assessment, and the avoidance of unnecessary duplication or overlapping of research activities in the development of technology assessment techniques and programs.

(b) Section 3(b) of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1862(b)), is amended to read as follows: Scientific programs, financing. 82 Stat. 360.

"(b) The Foundation is authorized to initiate and support specific scientific activities in connection with matters relating to international cooperation, national security, and the effects of scientific applications upon society by making contracts or other arrangements (including grants, loans, and other forms of assistance) for the conduct of such activities. When initiated or supported pursuant to requests made by any other Federal department or agency, including the Office of Technology Assessment, such activities shall be financed whenever feasible from funds transferred to the Foundation by the requesting official as provided in section 14(g), and any such activities shall be unclassified and shall be identified by the Foundation as being undertaken at the request of the appropriate official." 64 Stat. 156; 82 Stat. 365. 42 USC 1872.

ANNUAL REPORT

SEC. 11. The Office shall submit to the Congress an annual report which shall include, but not be limited to, an evaluation of technology assessment techniques and identification, insofar as may be feasible, of technological areas and programs requiring future analysis. Such report shall be submitted not later than March 15 of each year.

APPROPRIATIONS

SEC. 12. (a) To enable the Office to carry out its powers and duties, there is hereby authorized to be appropriated to the Office, out of any money in the Treasury not otherwise appropriated, not to exceed $5,000,000 in the aggregate for the two fiscal years ending June 30, 1973, and June 30, 1974, and thereafter such sums as may be necessary.

(b) Appropriations made pursuant to the authority provided in subsection (a) shall remain available for obligation, for expenditure, or for obligation and expenditure for such period or periods as may be specified in the Act making such appropriations.

Approved October 13, 1972.

LEGISLATIVE HISTORY:

HOUSE REPORTS: No. 92-469 (Comm. on Science and Astronautics) and No. 92-1436 (Comm. of Conference).
SENATE REPORT No. 92-1123 (Comm. on Rules and Administration).
CONGRESSIONAL RECORD, Vol. 118 (1972):
Feb. 8, considered and passed House.
Sept.14, considered and passed Senate, amended.
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Oct. 4, House agreed to conference report.

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DISCUSSION

Several issues were raised after Dr. Thomas' presentation. It was noted that both its legislative mandate and legislative exigencies require the OTA's work to be especially timely and responsive to the Congress. In addition, the OTA maintains very close liaison with committees --- both to receive suggestions for assessments, and to brief committee staff throughout the process of the assessment, making available working documents and monthly reports submitted by contractors.

Mr. Thomas also noted that the OTA does two types of assessments --- both long and short range. Short range or "mini-assessments" are done on an urgent basis by the exploratory assessment section of the Office. For example the OTA recently completed a two week assessment of the impact of the ERDA budget. The exploratory assessment section serves another function in addition to that of providing rapid responses on assessment questions. It performs exploratory assessments to determine whether an in-depth, long-range assessment is warranted.

A question was raised about the possible similarities between technology assessment research and science policy research. Dr. Thomas remarked that the two clearly are distinct. Technology assessments generate information to be used in policy research or policy deliberations. As an example he noted that the assessment of materials information system is designed to generate information to indicate where such information might be used most appropriately in policy research.

["OVERSIGHT RESPONSIBILITIES AND ACTIVITIES OF THE SENATE COMMITTEE ON GOVERNMENT OPERATIONS AND SEVERAL OF ITS SUBCOMMITTEES,"] STAFF OF THE SENATE COMMITTEE ON GOVERNMENT OPERATIONS: STATEMENTS BY MARILYN HARRIS, HOWARD FELDMAN, JIM DAVIDSON, BILL GOODWIN, VIC REINEMER AND RON CHIODO

Ms. Marilyn Harris

I believe Mr. Beckman says it well. Our Committee has a tremendous challenge which is the oversight of the agencies of the government, especially with respect to their economy and efficiency. As you know Senator Ervin was Chairman of the Government Operations Committee until his retirement. This year, Senator Ribicoff became Chairman. The committee reorganized its subcommittees and changed some jurisdictions with the hope, naturally, of making our Committee as efficient as we would like the Federal Government to be also. As part of our organization, we established the Oversight Procedures Subcommittee, about which Mr. Goodwin will be speaking. One Subcommittee was abolished, Reorganization, Research and International Organizations and that jurisdiction was taken to the full Committee. Our Committee is organized into unique Subcommittees. Each Subcommittee has its own budget and is funded under a separate section of a General Funding Resolution. Because of this type of organization, there is quite a bit of autonomy within our subcommittees, whereas in some other committees, there may not be as much autonomy because of the type of committee structure established.

I wanted to introduce the panel to you, and I thought the best way for you to achieve some understanding of our Committee and its Subcommittees is for each person who is representing that subcommittee to tell you specifically what it is doing. So I will introduce the panel to you with that objective in mind.

On my left is Jim Davidson, Counsel to the Intergovernmental Relations Subcommittee. That Subcommittee investigates the intergovernmental relations between the U.S. and the states and municipalities, including the fiscal relationship between the state, local and Federal governments. Jim will tell you more when we begin. On my immediate right is Mr. Howard Feldman, who is the General Counsel to the Permanent Subcommittee on Investigations. This Subcommittee is non-legislative and is concerned strictly with investigation and oversight. And to his right is Mr. Bill Goodwin the staff director of our newly created Subcommittee, the Oversight Procedures Subcommittee. One of its main goals will be to develop methods to improve how the Government Operations Committee and other committees can develop procedures for improving oversight. Also, Vic Reinemer, staff director of the Reports, Accounting and Management Subcommittee, Senator Metcalf that Subcommittee's Chairman, was one of the Senators who, I believe, generated the initiation of this Conference. Last year, the Reports Subcommittee was titled the Budgeting and Management Subcommittee. Some of that Subcommittee's jurisdiction was changed. It is concerned with the accounting, financial reporting and auditing arrangements and the development of management capability and efficiency of the Federal Government. It is also concerned with Federal advisory committees, Federal reports, questionnaires of the Federal Government and interrogatories. On the very end is Mr. Ron Chiodo, a counsel from the Subcommittee on Federal Spending Practices, Efficiency and Open Government. This Subcommittee is chaired by Senator Chiles. Last year it was called the Subcommittee or the Ad Hoc Subcommittee on Procurement, and has now been changed to a permanent subcommittee.

I think we will begin. Mr. Feldman.

Mr. Howard Feldman

Thank you. I think our Subcommittee is probably unique. I must take issue with the comment that we don't have a legislative purpose. Actually we had legislation that came out last week as a result of one of our investigations. This involved a study of the purchase of jet fuel by the Department of Defense. We compared their costs to the airlines and found huge overpayments. Previously we had done an investigation on the cut-off of oil to our military, especially the 6th fleet, after the 1973 Arab-Israeli war. Senator Jackson, Chairman of the Subcommittee, introduced legislation providing for criminal penalties in the event any individual or corporation willfully cuts-off oil to the military. But Marilyn is correct when she says that our responsibility is not that of developing legislation, holding subcommittee hearings on legislation and moving it to the full committee on a regular basis. We hope that our investigations result in appropriate remedial legislation. Two weeks ago, for example, Senator Jackson introduced an amendment to Senator Williams' securities bill. That amendment gave the SEC the authority to require the validation of securities and the authentication of securities. This was based on a three year investigation on stolen securities, organized crime, movement through brokerage houses, banks etc. The bill was passed by the Senate and is now in conference. We consider it a great accomplishment after several years of investigation.

The Permanent Subcommittee on Investigation has a long and glorious history. It previously was known as the McClellan Committee and during that time we went through labor racketeering, the Valachi hearings, TFX and others. Prior to that it was the McCarthy Committee, and I have great reservations about some of the techniques and procedures used at that time.

But as a result of the McCarthy days we have very rigid procedures and guidelines governing our hearings -- all of which, by the way, are held under oath -- about rights to counsel, about subpoenaing documents and other safeguards. We run what I term investigative rather than oversight hearings. Seldom do we have anyone before our Subcommittee who has not been interviewed, whose records we have not supoenaed or from whom we have not received some corroborating information about the investigation. It takes many months to put on some of our most extensive hearings, although we have put on less extensive sessions also.

We deal quite regularly with people's lives and reputations, and I find it a very heavy responsibility. For example, when we put on our securities hearings, some witnesses would mention a hundred names who were involved in illegal transactions. We had to go out and try to run down those people in the event their names were going to be mentioned. It is tedious work. We have a large staff, and some talented veteran investigators. That's another question. How do you pick a good investigator? It's very, very difficult. They can be ex-FBI people, they can be newsmen, they can be attorneys or others. The prerequisite is to have a knack to ferret out the facts.

We've done such things as the Russian grain deal, cut-off of oil to the military, the CHAMPUS investigations (that's the military spending for psychiatric care of benefits for children), various other oil investigations, the Russian grain deal II (as we term it - the October sale), stolen securities cases, material shortages hearings that were more of an oversight nature with Senator Huddleston, when he was on our subcommittee handled those. At present, we are involved in an investigation of DEA (the Drug

Enforcement Administration), focusing on their efficiency and operations. Our jurisdiction is very broad - and I should point here that our Subcommittee is in turn a combination of two subcommittees which were combined in March of 1973: the Permanent Subcommittee on Investigations and the old National Security Subcommittee, which was chaired by Senator Jackson. That Subcommittee has looked into many national security questions with a very talented group of people who are leading experts on foreign policy. Thus, we have a dual jurisdiction - domestic and foreign. The resolution is extremely broad and it permits us to function in just about any area. We have cultivated relationships with state and local police and with other governmental agencies. Our files have become a repository for many scholars who want to write books on racketeering and organized crime and things of that nature. We've tried to maintain a more balanced investigative approach, and I think it's exhibited in the kinds of things we are doing now. I could go on and on regarding our investigations, but I don't want to take up your time. We coordinate with all the other subcommittees. We've been looking at utility questions, for example, and Vic is the expert here. We hope to build on things that he's done. So with that I will depart.

Does anyone have any questions for Mr. Feldman concerning his Subcommittee? Next is Mr. Jim Davidson, Counsel to Intergovernmental Relations Subcommittee, which is chaired by Senator Muskie.

Mr. Jim Davidson

As Marilyn explained the Intergovernmental Relations Subcommittee has principal responsibility for the relationships between the Federal, State and local governments, funding assistance programs, to the extent that it does not traditionally fall within Judiciary Committee concerns

for Federalism and constitutional problems of proper Federal and state roles for administering or financing programs. Finally we explore general legislative problems where Federal legislation has an import on the operation of state and local governments apart from financial problems.

In addition, our Subcommittee , through mutual agreement between the Chairman of the Judiciary and the Government Operations Committees, has inherited a certain role for examining government policies with respect to information in the Freedom of Information Act, the Privacy Act, and the rights of members of Congress and congressional committees to information in the possession of the Executive Branch which in the last Congress produced the so-called right to information or executive privilege bill which was passed by the Senate but was not adopted by the House. I think this will give you an idea of the types of oversight roles that we have fulfilled during the last Congress. We did extensive hearings and investigations of the General Revenue Sharing program in June of last year when we held four-days of hearings oversight on the implementation of the program. We are attempting to examine the limited prescriptions on the use of revenue sharing funds, how the funds were being used, whether or not they were being used in violation of any provision of the Revenue Sharing Act with emphasis on the civil rights provisions of that Act. Last years hearings involved the city of Chicago and its use of revenue sharing funds in support of the police department work with focus of attention there. Those hearings and ones yet to come will figure strongly in this year's congressional consideration of the renewal of revenue sharing.

Also last year we focused on the impact of the energy crisis on state and local governments. This was a financial as well as an administrative

problem, looking at the cost of state and local governments of dealing with shortages of energy as well as the impact on constituents of those jurisdictions and the problems they were facing with State and local administration of Federal energy programs. That investigation required an extensive survey of all states and their energy offices and how they were implementing Federal and state energy programs. That resulted in a staff study that was published in January of this year. The study also drew from hearings that were held both last June and last October on the Federal energy crisis and its impact on state and local governments.

As I also mentioned we have tried to examine the relationship and the impact of the concept of new Federalism when this was a central theme of the Nixon Administration -- that is how State and local governments were attempting to deal with the decentralization of the administration of Federal programs as greater emphasis was being placed on the regional offices. That included the questions of how this reorientation was actually working - was the shift of responsibility going out to the regional offices, or are they simply still figureheads; and was in fact the decision for state and local programs still being made in Washington? We had eight days of hearings on the new Federalism program bringing in the secretaries of HEW, HUD and the Director of the Office of Management and Budget.

The Subcommittee, also in the last Congress, attempted to examine the level of public confidence and concern about Federal Government, State governments, and local governments and the leadership and administration of programs at each of those levels of government. The Subcommittee retained the Louis Harris organization to conduct a poll of American citizens and also more than 206 local and state officials were interviewed during this process - both in person and through written questionnaires attempting to evaluate what the

public's perception was of the administration of local, State and Federal programs and in turn what officials at those levels of government thought the public's perception was of the administration of government programs. That produced an interesting split in the evaluation. There was a much greater feeling that a better job was being done by those holding office than by those who elected them. That study was published in December of 1973 in 3-volumes and still used as a basis of evaluating public perceptions of local, State and Federal programs.

In the area of constitutionally related questions of the Congressional right to information as well as freedom of information and privacy, our Subcommittee played a principal role in developing certain amendments to the Freedom of Information Act in conjunction with the Judiciary Committee. Also we conducted with the Judiciary Committee a series of hearings in 1973 and followed-up with hearings last year into questions of government secrecy, the withholding of information both from the public and from the Congress and the related constitutional questions involved as I mentioned before, that produced the so-called Congressional Right to Information Act, which was enacted by the Senate and which will be reintroduced again by our Subcommittee this year. In the area of government secrecy - we held in 1973 a total of 7 days of hearings. Last year we conducted 5 days of hearings into the Executive Branch administration of Executive Order 11652 which was the most recent in a series of Presidential Executive Orders prescribing the procedures for classifying government secrets confidential, secret and top secret. We hope that another round of hearings this year will help produce Congressional guidelines for the classification of government secrets which will replace the Executive Order guidelines for classification.

The Subcommittee through the full committee played a major role in the development of the Privacy Act of 1974 and this year is working toward the implementation of that Act which goes into effect September 27th. We are working almost on a daily basis with the Office of Management and Budget in the development of guidelines for the implementation of the Act, and plan hearings in the very near future on oversight of the level of preparedness of various agencies toward implementing the Privacy Act.

One incidental role of the Subcommittee which will probably be continued in this Congress involved hearings on the Congressional oversight of U.S. intelligence agencies. In December of last year we had two days of hearings and had planned follow-up hearings in January and February until the N.Y. Times broke the story of intelligence agency surveillance of U.S. citizens. It was our Subcommittee that developed the resolution which the Senate adopted establishing a Senate Select Committee on Intelligence Oversight and will probably receive again the referral of any recommendation by that Select Committee for the establishment of a permanent Oversight Committee on Intelligence. As you can see, our Subcommittee has rather diverse responsibilities, but part of it is by tradition and part of it is just by agreement between the Chairmen of the Government Operations Committee and Judiciary. I will defer to others if you have any questions.

Thank you. Bill Goodwin is staff director of the Oversight Subcommittee, the new Subcommittee which I mentioned previously. As you may know, the proceedings of this conference or seminar are going to be published in a document which his Subcommittee will be preparing.

Mr. Bill Goodwin

Well very briefly, our Subcommittee was created at the first of this year.

We have four primary duties. First, the development of better methods and procedures of congressional oversight. Second, the study of the utilization and disposal of Federal property. Third, the consideration of budget measures other than those within the jurisdiction of the Budget Committee. Fourth, general oversight of the work of the Federal Paperwork Commission, which was created at the end of last year. Of these our work in oversight is our major responsibility.

One of the chief reasons that our Subcommittee was created was the general feeling that Congress can do a better job of oversight. As Walter said at the beginning of this seminar, the climate is right for improving our oversight functions. You might say that the question is whether we are going to have oversight by scandal -- do we have to create a select committee every time we have a Watergate or a revelation in the N.Y. Times about C.I.A. activities.

The House, I think, got the jump on the Senate with its committee reforms and the House Government Operations Committee now has new strength and responsibilities in the oversight area.

Our Subcommittee is planning to survey the Senate committees, which will be similar to the recent report of the House Government Operations Committee -- although we do not have the authority by Senate rule that the House committee has by House rule at the present time.

We also intend to put together in committee print form a fairly comprehensive reference work on oversight sometime within the next two months. This will be a document, which we intend to make available to all members

and all committees giving outlining the different types and different techniques of oversight. In effect, we will take this seminar and expand it into more technical avenues.

We also intend to initiate studies of our own in oversight, and to use the resources of the General Accounting Office and of CRS. We hope to be able to serve as a coordinator, and to more or less advertise the work that is going on in CRS and in GAO.

Our primary function is to work on better committee functions of the oversight process and to come up with ideas of how the Senate committees can better oversee the operations of the executive branch on a day-to-day and month-to-month basis as opppsed to waiting for some scandal to break in the Washington Post. It's not going to be easy, but budget reform wasn't easy, either. As I recall, Vic, it took 2 1/2 to 3 years to get that bill through the Congress - so we don't visualize results overnight.

In the meantime, our Subcommittee will be doing some oversight of its own, especially of GSA as it pertains to the use and disposal of Federal property -- not the procurement of property. The Subcommittee recently staffed oversight hearings in the full Government Operations Committee on energy conservation to try to get a grasp of what all the agencies are doing in energy conservation and what sort of coordination is taking place in the Executive Branch. We also will be watching the Federal Paperwork Commission and the National Commission on Productivity and Work Quality which should be reformed within the next 2 or 3 months into a National Center for Productivity.

Those are some of the Subcommittee's own oversight plans.

The staff hopes to be of help to everybody, frankly. We are not going dabbling into other people's jurisdiction. We want to put together

information and ready references that will be helpful to all members of the Congress and their staffs and all the committees and their staffs and to proceed with the development of better methods by which Congress can do its oversight job.

Ms. Marilyn Harris

Next, Mr. Vic Reinemer, the staff director for the Reports, Accounting, and Management Subcommittee.

Mr. Vic Reinemer

I see the House Government Operations Committee staff came in so please impose their five minute fule on me if I go beyond, so that they have plenty of time.

I would like to just mention just two of our oversight activities because they involve some different techniques which may be of interest to you. They also both afford examples of something which we always find in evaluation which makes our job more difficult, which I think we ought to talk about briefly. And that's the congressional compulsion to over-legislate. It's part of the process. The members see a situation that needs correcting. They say there ought to be a law, let's put out a press release, and put it on through. And then we get really this extraordinary confusion of existing laws, sometimes conflicting laws. So when we do try to evaluate or make a particular program work, instead of going back and using a much better law -- and here the 73rd and 74th Congresses offer some beautiful precedents -- instead we try to legislate some more.

This is what is going on right now in the energy field, especially re: foreign ownership of energy corporations and other corporations. Instead of working with the various regulatory agencies, which have all sorts of authority to collect and tabulate and make meaningful reports on ownership of companies foreign or otherwise, we are passing more laws, and not paying as much attention as we all should in my opinion to the development of the

regulations and the enforcement of the various reporting requirements.

I was so glad to hear Ellen Collier earlier in the day talk about the importance of the agency reports. But what I am talking about here is the corporate reports to the regulatory commissions, and the information within them, which is so important to enforcement of laws whether it be anti-trust, conflict of interest or a rule-making proceeding or whatever. So I just wanted to make this point -- that maybe we will have more people like Senator Barkley, who made quite a point of not introducing legislation -- except occassionally something having to do just with Kentucky. He prided himself on being a developer of particular refinements of legislation rather than being the first to put his name on the bill.

Well, anyway, when we dealt with this matter of corporate disclosure our technique was first the traditional study, in which we obtained the cooperation of CRS and GAO, then came the hearings at which it became abundantly clear that the various regulatory commissions had all the powers they needed to collect information as to who owned and controlled various companies that report to the regulatory commission. We also saw that the regulations had just grown up topsy turvy.

So as a result of these hearings where we established that we didn't need laws we -- and here the GAO was instrumental -- established a steering committee on uniform corporate reporting requirements. And now when they go out for rule-making comes the real follow-through. For example the ICC has formally proposed adoption of these model corporate reporting requirements that deal with the stock-holdings, debt-holdings, corporate structure and affiliations of officers and directors, of major regulated companies. If the ICC and the other commissions adopt these requirements we are going to have, all of us, for the first time, a great deal of

current information which has otherwise been obtainable partially only by special and time-consuming proceedings. But the difficulty here is that what adoption of the model disclosure regulations requires is for various members and interest groups to actually become parties in administrative proceedings. So this is one thing that Senator Metcalf and a few others, especially on the House side too, are increasingly doing -- being formal parties to administrative proceedings of the regulatory commissions. The other activity that I want to mention briefly has to do with the advisory committees. This Federal Advisory Committee Act is two years old now, two years and 4 months. And actually the number of Federal advisory committees has decreased from 1439 to -- OMB and GSA have a different count, but Jerry Sturgis here has the best count, what is your figure Jerry.....1242. So we have gotten rid of about 200. And that is a net reduction. Last year Congress established 53 new Federal advisory committees, by statute, despite the very explicit language in our two-year-old statute that no new Congressional statutory advisory committees shall be established unless there is proven that there isn't another one that can do the job or perhaps the agency itself could do the job.

We really are looking for some help on how to handle this one. What we did about a year and a half ago was to send to all the standing committees a list of all the advisory committees which are subject to their jurisdiction. Now we are going to send out a little stronger document this time. It will include a list of all the new advisory committees that they established, probably not in accordance with the law which had been resoundingly approved. Here is the sort of an area where we are going to continue in and to ask the CRS for some assistance. It has been so helpful on indexing. We will soon have available the 1975

report on all the advisory committees. This will include the membership, meeting information and all that. That's already available on microfilm. And by Labor Day we will have an alphabetized index, as we did after the first report came out two years ago. This will be alphabetized both as to institution and individual. It will be a very valuable resource.

Ms. Marilyn Harris

Thank you, Vic. I would like Ron Chiodo to share with you the responsibility of the Federal spending practices, Efficiency and Open Government Subcommittee, chaired by Senator Chiles.

Mr. Ron Chiodo

Ours also is a relatively new Subcommittee. In 1969 by law the Commission on Government Procurement was formed to review the procurement activities of the Federal Government and recommend any necessary reforms. In 1972 their study was completed and included 149 recommendations. As a result the Ad Hoc Subcommittee on Procurement was established in the Government Operations Committee last year to carry out the Commission's recommendations. This year the jurisdiction has been broadened, and now includes Federal spending practices, efficiency and open government.

Very briefly, the Federal spending practices area includes Federal procurement and the laws, regulations and procedures governing Federal contracts, grants, transfer payments, and other spending arrangements includes the Office of Federal Procurement Policy, which was established just this year. It also includes all Executive Branch organizations which are responsible for Federal spending practices. To the extent that "Federal spending practices" doesn't cover the ball park, we have "efficiency" which includes the efficiency and economy of Federal spending practices generally. Finally, of course, we have "open government" and that particularly has to do with legislation regarding the public con-

duct of meetings of all branches of the Government.

Just to give you a few examples, in the Federal Spending Practices area we are in the process of preparing for and will be conducting oversight hearings with regard to how the Federal Government goes about procuring major systems, be they weapons systems or civil systems. The Department of Defense has procurement programs today which will total about $140 billion when acquisition is complete. The dollar figures involved are very high and the cost overruns that we've all noted in the newspapers contributes significantly to this. There is some concern that there's a lack of competition in the acquisition of major programs. We also see the problems of interservice rivalry that have to be contended with. In the civil area, GAO has done a recent report on civil acquisitions and has found some projects whose cost overruns have been as high as 200%. So not all the problems are in the area of the Department of Defense. Continuing in this one area of oversight, we also have concern over the way the Federal Government acquires all kinds of property, be it major systems or perhaps just desks and typewriters.

Today the acquisition process for the government involves something over 4,000 laws that are sometimes conflicting - certainly not all in one place. There is a need to revise and streamline the acquisition process generally. We are now working on legislation which would do that - bring the procurement laws together in a consolidated acquisition statute and amend the existing laws as is necessary to develop a consistent approach to the acquisition of property.

By calling ourselves Subcommittee on Federal Spending Practices rather than just Procurement as was the case last year, we also have clear jurisdiction over the grants area and we are conducting investigations with regard to grant programs, HEW comes to mind here. The dollar figures

involved again are very high, upward of $50 billion. We see the same thing I think you all have noted, that in some cases the process by which grants are let can be considered very confused. There have been many examples in which very little discipline has been applied to the system. There have been some isolated examples where awards have certainly wired to favored recipients, perhaps suggesting fraud. We have introduced some legislation with regard to the grants area to help clarify the circumstances under which a grant should apply and the circumstances under which instead a contract should apply.

With regard to the second area of jurisdiction, that of the efficiency of Federal programs, we have been looking at the social security program as one example, and the food stamp program as another example. Questions that are being raised are primarily with regard to the mechanism that's being employed. Are applicants getting a fair shake out of the system? Is the system too overloaded with bureaucracy? Is there a better mechanism for providing the same benefits? In no case does our jurisdiction, though, extend to the objectives whether we should have a food stamp program or social security program. We would only raise questions as to whether the program was being conducted as efficiently as possible.

The last area of jurisdiction of open government is rather obvious. There is legislation which has been introduced this year called Sunshine legislation. (Audience: What state originated the basic legislation?) Ron: State of Florida. Florida was one of the first states that had pursued legislation to open its government meetings to the public and the term "sunshine" has been applied to legislation of this type. S. 5, a sunshine bill, is tentatively scheduled for mark-up this month.

This briefly covers our area of legislative oversight. We also have the typical activities, case work load and investigations that come up when particular violations of law are found just like many of the other subcommittees do. I will turn it back to Marilyn if there are any questions. Marilyn: Are there any overall questions on the Senate side?

Audience

Just one, Mr. Goodwin didn't say who the members of his committee are and I would be interested.....

Bill

The Chairman is Senator Nunn. Other majority members are Senators Jackson, Muskie, Allen, and Chiles. The ranking minority member is Senator Percy and Senator Roth.

DAY II: CONGRESSIONAL COMMITTEE CASE STUDIES OF EVALUATION AND OVERSIGHT: SUMMARY OF PROCEEDINGS

Committee staff experiences in doing or using various types of evaluation, quantitative evaluation research, and oversight formed the topic for the second day of the seminar, May 12.

A. Oversight and Evaluation in the House Committee on International Relations: On-site Staff Visits

The proceedings commenced with a presentation by Jack Sullivan, Staff Consultant to the House Committee on International Relations (formerly the House Committee on Foreign Affairs). Dr. Sullivan began his presentation by outlining the history of oversight activities in the International Relations Committee. Then he described the Committee's current subcommittee structure. In response to H. Res. 988, the Committee Reform Amendments of 1974, the Committee was given new jurisdictional responsibilities. It created three new oversight Subcommittees to deal with existing and new responsibilities. These are: (1) the Subcommittee on Oversight, which deals with oversight of foreign intelligence, administration of foreign affairs external research, and all areas not covered by other subcommittees; (2) the Subcommittee on Investigations, which deals with special foreign-policy-related investigations referred by the chairman with the consent of the committee; and (3) the Subcommittee on Future Foreign Policy Research and Development.

Most of Dr. Sullivan's discussion focused on how the Committee and Subcommittees have gathered information for oversight of overseas operations of the U.S. Government. The Committee uses several techniques, including

onsite visits and related analysis by neutral bodies, such as the CRS or the GAO, and visits by members of Congress and committee staff investigators. Dr. Sullivan emphasized the importance to both the International Relations and the Foreign Relations Committees of onsite overseas investigative staff visits.

He gave several case study examples to illustrate the utility of such visits as an evaluation and oversight information gathering technique. For example, while making an onsite visit in Asia, Committee staff investigators who interviewed local AID recipients learned that many women in Indonesia and the Phillipines using AID-supplied birth control pills were suffering a variety of side-effects. AID headquarters and the chief AID physician discounted the importance and severity of these effects. They were interested in evaluating the success of the AID birth control distribution program in terms of numbers of persons participating (a process evaluation question), rather than also in terms of the impacts of the program on the participants. After Committee staff reported back to the full Committee, congressional pressure forced local AID administrators to investigate and confirm that women were indeed suffering side-effects. Additional onsite investigation indicated that due to GSA procurement regulations, each year, on the basis of lowest bid, a different pharmaceutical firm supplied AID with birth control pills. The chemical composition of the pills varied significantly enough to casue side-effects in women who were given new types of pills every fiscal year. Finally, congressional pressure and publicity caused the AID physician to change his position and the GSA to change procurement regulations so that women could receive the same drug continuously.

Dr. Sullivan indicated that onsite visits are only one important form of information-gathering for evaluation and oversight. However, he stressed that they are especially useful because they generate information that cannot be obtained by any other method including the use of neutral research bodies. Onsite committee staff investigators, unlike those of neutral research bodies, have immediate access to decisionmakers: that is, members of Congress. It is important, Dr. Sullivan stated, for investigators to have daily close contact, trust, and rapport with members. This relationship aids immeasurably in providing access for using evaluation and oversight information in policymaking.

Dr. Sullivan emphasized, however, that two important criteria must be met to insure the success of onsite overseas staff investigations: (1) the investigators must be highly trained professionals, and (2) visits should be made in pairs, to aid the committee in corroborating evidence and statements made in interviews which Federal agency administrators might deny when testifying before the Congress.

B. Oversight and Evaluation in the House Committee on Government Operations: The Freedom of Information Act

William G. Phillips, who from 1971 to 1975 was staff director of the Foreign Operations and Government Information Subcommittee of the House Government Operations Committee, gave the second presentation of the afternoon.

Mr. Phillips began his statement by providing a detailed description of the sequence of oversight and investigative activities and then legislative action which led to congressional passage and overriding of a presidential veto of amendments to the Freedom of Information Act of 1966, P.L. 89-487. The act provides, in general, that "'any person' might have access (with certain exceptions) to rules, opinions, orders, and other types of public records of various agencies of the Executive branch of the Federal government."

Mr. Phillips noted how initial oversight was hampered since the more than a hundred affected agencies interpreted the Act's access and reporting responsibilities differently. A committee print describing these and other difficulties was published. The Committee then expanded its oversight by administering a detailed questionnaire to agencies to determine the ways in which the agencies complied with the law during the period 1967 to 1971. After obtaining assistance from the CRS in analyzing the responses, the Committee held a set of hearings and then prepared a report on problems with administration of the act.

Recommendations for improvement were included in bipartisan amending bills introduced in the House. Simultaneous oversight hearings were conducted in the Senate, followed by House and Senate passage of a compromise version of a bill to strengthen the Act. The Administration opposed the bill and the President vetoed the act. However, the Congress overrode the veto on the strength of oversight information generated and because the climate -- the era of the Watergate scandals -- provided enough incentive for a bipartisan congressional reaction.

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Mr. Phillips made two additional important points in concluding his remarks. First, he made a clear differentiation, based on his experiences, among three different types of operational congressional oversight: (1) "routine": that is, monitoring the issuance of agency regulations (published in the Federal Register) to see if the agency is following the intent of the law enacted by the Congress; (2) "special": in-depth, long-term investigative oversight of a high-priority area which might eventually require corrective legislative action, for instance like that done on the amendments to the Freedom of Information Act; and (3) "guerilla": spot checking, usually in an adversary or conflict situation where a set of one-day hearings prompts corrective action by a Federal agency without legislative enactment.

Second, he noted that it had been exceedingly difficult to do good oversight before passage of the Committee Reform Amendments of 1974, since most available resources had to be used to prepare new legislation. As a result the Congress had to rely almost exclusively on oversight reports prepared by Federal agencies. In many cases these reports were biased to give a favorable picture of a sometimes unsavory situation. Mr. Phillips said that he expects the House committee reorganization and new oversight resources and responsibilities to aid the Congress significantly in ensuring good government and maintenance of the balance of powers.

C. Oversight and Evaluation in the Joint Economic Committee: The Family Assistance Plan

For three and one-half years, during the period 1971-1974, the Subcommittee on Fiscal Policy of the Joint Economic Committee conducted a comprehensive assessment of public welfare, resulting in a 24 volume

series of hearings, reports and background documents. The objective of the study was to assess the effectiveness and impact of the Family Assistance Plan, FAP, which established a Federal minimum income floor for all families with children. The study was initiated by Representative Martha Griffiths, Chairperson of the Subcommittee and a member of the Ways and Means Committee, which had oversight responsibilities for the program. Ways and Means Committee deliberations on the issue had convinced Mrs. Griffiths that an adequate review of FAP required that the program be assessed in the context of all income supplement programs, since changes intended in one program are often counteracted or duplicated by other income benefit programs. The other supplemental benefit programs involved were those offering benefits in food, health care, day care, housing, social insurance, social security, and unemployment compensation.

Dr. Alair Townsend, research director for the Fiscal Policy Subcommittee which conducted the study series, discussed the origins of the study, resources required to conduct investigatory evaluation and oversight of this nature, methods to present findings, and appropriate types of products.

All the income benefit programs were assessed with respect to (1) the distribution of benefits, especially in various combinatons, (2) questions of adequacy, (3) the impact on incentives with respect to family structure and work effort, and (4) administrative efficiency.

Ms. Townsend summarized several prerequisites for conducting a wide-ranging and lengthy study of this nature. They include: (1) adequate

leadtime and (2) highly trained professional committee staff capable of close teamwork. This is necessary to permit the close interfacing required between Subcommittee members and investigative staff to keep the study on target and to enable the staff to monitor closely the work of the internal staff and outside professionals. Support agencies which assisted in the research included the Congressional Research Service, the General Accounting Office, the House Information Systems Office, and outside academic researchers working on contract to the Subcommittee.

The study demonstrated a proliferation and fragmentation of programs. Responsibilities for implementation and oversight were fragmented among Federal agencies and State and local governments. The research also identified policy problems, inadequacies in data collection and analysis, and the need for better syntheses of evaluation research dealing with these issues.

The Subcommittee reports consisted of 24 volumes of background studies and four sets of hearings on issues raised. These detailed reports were distributed widely to interested committee staff, interested members, Federal agency administrators, and academics. However, in order to achieve wide dissemination of results among members of Congress, the reports were supplemented by nontechnical summaries, including graphs and charts.

Ms. Townsend concluded by noting that although the Joint Economic Committee has no legislative authority, bills containing the essence of the findings

of the study were introduced by Mrs. Griffiths and members of other committees with substantive jurisdiction for issues raised. The study received wide distribution and, in Ms. Townsend's opinion, has had a significant impact on legislative oversight and evaluation.

D. Oversight and Evaluation in the Senate Committee on Agriculture and Forestry

James W. Giltmier, a professional staff member of the Senate Committee on Agriculture and Forestry, presented the concluding case study of the afternoon. He described the legislative need for evaluation information, but the right kind of evaluation information. Using his own experiences as well as examples of other evaluation studies, Mr. Giltmier indicated that much evaluation is far too complicated for legislative decisionmaking purposes. Evaluation methods which use systems analysis models and thoroughly reliable and valid data may be required by Federal agencies or academics, but they do not always serve legislative decisionmakers who want to know whether or not a program works.

The General Accounting Office often provides important evaluation and oversight information. However, Mr. Giltmier noted that some GAO work is not sufficiently tailored to evaluation and oversight purposes. This occurs either because the demands of preparing reports required by statute leave insufficient time for responding to new demands, or because a given study inherently requires a long "turnaround time" and entails a lengthy data-gathering and analysis period (as well as a seven-step review procedure), or because a study does not evaluate agency or program performance in terms of the

"rationale of the [members of Congress] who built the program" but rather in terms of narrower concepts of auditing or performance efficiency.

Mr. Giltmier concluded his presentation by describing some current Committee evaluations. These include an evaluation of the Farmers Home Administration to determine if the agency has sufficient manpower in Washington and in the field to implement its responsibilities. Another evaluation effort consists of monitoring recently enacted legislation on forestry which included congressionally mandated requirements for evaluation. The General Accounting Office assisted the committee with both evaluations, helping the committee particularly in drafting legislative requirements for evaluation for the forestry bill.

"FOREIGN AFFAIRS OVERSIGHT: ROLE OF THE STAFF SURVEY MISSION,"
JOHN H. SULLIVAN, HOUSE COMMITTEE ON INTERNATIONAL RELATIONS

It is a pleasure to have been asked to participate in this seminar on Legislative Oversight and Program Evaluation. The subject is one which turns me on. Next to legislating -- which is the life-blood of any committee -- oversight is the reason we staff people get paid.

The Committee and Oversight

The committee I come from -- once the Committee on Foreign Affairs and now the Committee on International Relations -- has a long record of concern for oversight and review.

One of the most written-about Congressional study missions in recent history was the Javits Mission to Europe early in the 1950's which found abuses in the Marshall Plan programs and recommended a series of reforms most of which ultimately were adopted.

Some 26 years ago the Committee formed a special Subcommittee for the Review of Foreign Aid Programs, chaired by the Chairman of the full Committee with membership by top ranking members of both parties. Most of the staff oversight studies and many of the Congressional study missions were undertaken under the auspices of this Review Subcommittee. Its work resulted in U.S. foreign operations, especially in the area of foreign aid.

More recently, in this 94th Congress, the Committee revised its subcommittee structure in keeping with the Committee Reform Act of 1974 and new jurisdiction which was given to it. Right now it has three subcommittees with essentially an oversight function. They are:

The Subcommittee on Oversight, chaired by Chairman Morgan. It deals with oversight of foreign intelligence; administration of foreign aid; external research -- the General Accounting Office, Congressional Research Service; Inspector General of Foreign Assistance; Auditor General of AID; and all areas not covered by other subcommittees.

The Subcommittee on Investigations, chaired by Congressman Lee Hamilton of Indiana, which is to deal with special foreign policy-related investigations referred by the chairman, with the consent of the committee. Most recently that subcommittee has been studying the entire question of United States policies in Indochina. It has played a constructive role in keeping the committee abreast of the fast-moving events in Indochina.

The Subcommittee on Future Foreign Policy Research and Development. This subcommittee was formed pursuant to the mandate in the Committee Reform Act of 1974 that committees undertake "futures research and forecasting". To my mind that encompasses a large measure of oversight. One cannot go about prescribing for the future until one understands the mistakes and problems of the past.

Yet another manifestation of the seriousness with which the Chairman and members of the Committee on International Relations approach the oversight function is the biannual oversight report required by the Legislative Reorganization Act of 1970.

Some committees seemingly have undertaken those reports as if they were a nuisance. Others have included oversight information in their "surveys of activities" -- thus lumping together their legislative and oversight activities.

The Committee on International Relations -- like the Ways and Means Committee and the Education and Labor Committee -- have seen the biannual report requirement as an opportunity to pull together in one place a comprehensive account of oversight activities.

It has been my hope that the House Committee on Government Operations would begin looking at those reports and, in effect, "giving grades".

Oversight of Overseas Operations

My purpose here today is not to talk about the Committee, but about means of conducting Congressional oversight on U.S. operations overseas.

Basically, there are three ways such oversight has been carried out:

First, through Congressional study missions in which members of Congress -- a delegation, several, or sometimes just one -- go abroad to look one or several foreign affairs problems.

Second, staff survey missions in which professional staff members of relevant committees are sent abroad by their Committees to obtain information on problems and to report back to the members.

Third, the General Accounting Office often carries out studies which involve their personnel abroad -- or personnel from the Washington office who go abroad -- in order to obtain information for reports requested by Congressional committees.

Occasionally Congressional Research Service staffers may become involved in such studies. Several years ago two staff members here went to Europe to gather information on the continuing usefulness of Radio Free Europe and Radio Liberty -- a study which attracted considerable attention when it was released.

My purpose today is not to talk about Congressional study missions in which the Members, themselves participate. Not because I doubt their ability to uncover important information affecting policy. You might recall that it was just such a Congressional delegation visiting Vietnam in 1960 which uncovered the infamous "tiger cages" at Con Son Island. I exclude such missions because their character so often if diffuse.

Some are serious fact-finding efforts and some are not. Just as the American press, unfortunately, is unable to tell the difference, discussion of them here today might lead far afield from our focus on oversight activities.

Nor do I wish to speak about GAO and other activities overseas. They provide a valuable back-up to us in Congress but they do not have -- and possibly will never have -- the "inside" impact which a staff report can have.

Before launching into some case studies and examples of such staff studies -- both from the Committee on International Relations and the Senate Committee on Foreign Relations -- let me make several preliminary points:

First, the information which can be obtained through a staff survey mission often can be obtained in no other way.

Second, the professional qualifications and attitudes of those staff members undertaking the study are essential to their success.

The staff members must have the trust -- or at least the respect -- of the officials of the executive branch and others with whom they deal. More important, they must have the trust and respect of the members of Congress.

Having this trust, they then should be free to exercise their own independent judgments of situations -- whether or not their findings accord with the prevailing wisdom of their committee or the executive branch.

Third, information uncovered by a Congressional staff person and conveyed to influential members of Congress can be a powerful force for changing the executive branch policies which are at conflict with the mandates of Congress.

Moose and Lowenstein, Moose and Meissner

By far the most influential staff survey team has been Moose and Lowenstein, Dick Moose of the Senate Foreign Relations Staff and Jim Lowenstein, now back in the Department of State. Dick Moose now has a new partner -- Chuck Meissner, formerly of Sen. Percy's staff, now on the Foreign Relations Committee staff.

This new duo seems equally able to afflict the bureaucratic establishment.

It was Moose and Lowenstein who in 1973 discovered that the United States bombing in Cambodia was being coordinated from the United States Embassy in Phnom Penh. That revelation burst like a B-52 blockbuster in Congress. It looked to many that Cambodia was a new tunnel at the end of the light, with growing U.S. involvement. Thus, two months later the Senate passed the Church-Case amendment to halt the bombing in that country.

It was to Moose and Lowenstein in the fall of 1973 that President Marcos revealed for the first time that an assassination plot against him has been uncovered -- a plot which included the hiring of American gunmen to do the killing. This information has probably resulted in somewhat more sympathy for Marco's martial law decrees on Capitol Hill than otherwise might have been the case.

Most recently, it was Moose and Meissner who found out that the United States Ambassador in Saigon, Graham Martin, was dragging his feet on the evacuation of Americans from Vietnam when it seemed inevitable that the country would fall to the Communist advance. They

found that planes leaving the country for safe havens were going with many seats empty -- though many persons were clamoring to leave.

This information caused senators to put pressure on the President to give first priority to getting the Americans out, which he ulitmately did. American numbers had been reduced to around one thousand, four hundred, by the time the final helicopter lift occurred.

But it is much too tempting to emphasize the dramatic aspects of these Senate staff missions. Beyond these headline making aspects of their investigations is a great deal of solid detail -- much of it at variance with the official wisdom. As the Washington Monthly recently said, the cables and reports sent back by these Senate investigators -- and I quote -- "provided the Senators with a steady stream of fresh, undiluted information."

House Staff Survey Missions

Although the staff survey missions undertaken by the House Foreign Affairs Committee have not received the same public attention as those of their Senate counter-parts, they had their moments.

For example, in the fall of 1972, Jack Brady and Bob Boyer of our staff spent three weeks investigating the narcotics trade in Southeast Asia. By small plane they flew into the no-man's-land known as the "Golden Triangle" where Burma, Laos and Thailand come together.

The area is notorious for drug smuggling.

While there Brady and Boyer uncovered what has come to be known as the "extra ton of opium".

The U.S. Bureau of Narcotics and Dangerous Drugs had agreed with the Thai Government to what amounted to a pre-emptive buy of opium from the

Chinese Irregular Forces who have been occupying northern Thailand for years and funding their activities with opium-growing.

The U.S. turned over $1 million dollars. When the Chinese Irregulars showed up at the turn-in point they had 27 tons of opium rather than the 26 which had been agreed upon.

Thai and U.S. authorities refused to accept the extra ton and the Chinese were ordered instead to get it out of Thailand.

Our men were highly critical of that action -- the expectation being that the opium probably found its way to U.S. troops who then were still in Vietnam.

* * * *

On a 1972 mission looking into U.S.-funded family planning programs in Asia, my partner -- Chips Chester -- and I uncovered the fact that sitting in a Stockton, California warehouse were 625 vasectomy/IUD surgical kits valued at $625 thousands.

They once had been destined for Korea. But there was no way for the Koreans to use them. So the Agency for International Development was storing them, not knowing what to do with them.

Time does not permit an examination of that particular bureaucratic blunder. Suffice to say that it resulted from the actions of an official with too much foreign aid money to spend, and too little wisdom on how it should be expended.

* * * *

A much more important finding from that mission was that the birth control pills which AID was distributing to women in Asia were having adverse physical reactions and the program was suffering thereby.

The problem arose because the kind of pill distributed each year depended on which American drug company has the lowest bill. Each year for five years a different company was awarded the contract.

As a result a woman in the Phillipines or Indonesia who had been in the program for 5 years was switched to a new pill every year. In 1972, the switch-over produced a very worrisome side effect -- and women were dropping out of the birth control program in droves.

Dr. Ravenholt who runs AID's Population Bureau believes the pill has no adverse side effects -- in fact, is good for the health.

He wasn't too interested in hearing about these problems and his population officers in the various countries were not too keen on reporting the bad news to the boss.

But we heard about it from the local doctors and some of the women who were taking the pill.

We described the problem in our report -- at which point Dr. Ravenholt sent three doctors to Asia to check out the situation. Their report confirmed our findings.

As a result, AID changed its pill distribution practices to minimize future such problems.

Incidentially, after reading that report one columnist was moved to call Chips and me the "Masters and Johnson of Capitol Hill."

Head Count in Cambodia

The case study which I want to discuss in some detail has to do with the effort by the congress to minimize United States involvement in Cambodia.

In 1972, the members of the Senate Foreign Relations Committee became alarmed at what appeared to be growing United States involvement in Cambodia.

As a means of dealing with the issue, the Committee appended an amendment to the Foreign Assistance Act of 1972 setting a ceiling of 200 on the number of American officials who could be in the country, and a ceiling of 75 third country nationals working on contract with our mission, aiding the Cambodian armed forces.

Since the matter would be a point at conference, the Committee in the fall of that year sent Bob Boyer and me to Cambodia to assess the entire situation and to recommend whether the ceiling numbers should be accepted and at what level.

In the course of our investigation we talked to dozens of U.S. and Cambodian officials about the numbers. We even took our own head count to find out how many official Americans were in country at that time. On our own we walked into the Air American office to count. We visited a semi-secret communications facility. And we added numbers to numbers.

When we were finished we cabled our members that a 200 ceiling seemed like a reasonable figure. While we were still abroad the House conferees yielded to the Senate on that point.

In the spring of 1974, Jack Brady and I visited Cambodia as part of a staff study of military and economic aid in Indochina.

In the meantime the situation in the country had deteriorated and the U.S. mission had become considerably more activist in its relations with the Cambodians.

The 200-person ceiling had begun to pinch.

As a result, despite the plain wording of the law and its obvious intent, we found that an average of 215 to 222 American civilian and military officials were daily at work in the U.S. Mission in Phnom Penh or elsewhere in the country.

The rationale provided by the Embassy was that not more than 200 American officials ever were present in Cambodia overnight. They admitted that more

than that number were present in Cambodia at any one time during working hours.

In order to insure that no more than 200 official Americans were present overnight, the Embassy had initiated a procedure they called "headspace".

Under "headspace' the Deputy Chief of Mission saw to it that sufficient personnel were out of the country by nightfall to accomodate those on TDY who might be staying overnight.

In many cases individuals deemed expendable traveled to Bangkok for several days of sunning by the pool, all the time being carried on the work rolls and collecting per diem for the vacation.

This procedure was a clear attempt to circumvent the law -- and an expensive one at that. The government was forced to pick up air fares both for those going our and those coming in, plus salary for days not worked, plus per diem.

When we confronted the Ambassador with this scheme, he denied that it violated the law. We let him know that our opinion was otherwise.

While we were in the process of writing our report after returning to Washington, we received information that the Embassy was reducing its daily work force back to 200.

That information was contained in our report to the Committee. But because it was not corroborated, we suggested that Congressional action might still be needed to remedy the clear abuse of the law.

Although no legislative action was taken, several congressmen filed a legal suit against the Administration and various federal officials, citing our report, and charging them with violations of law.

I should note that our initial information about the abuse came from the GAO regional director, Fred Lyons, with whom we regularly meet when we are in that area. But Fred had only some of the facts: he was blocked from getting the

rest because of limited access to the people and documents involved. We had the access he lacked and could complete the picture.

Knowing how bureaucratic processes tend to take on a life of their own, the "headspace practice" might well have expanded even beyond the 15 or so extra people daily -- especially as the Cambodian situation deteriorated further.

That would have been just that many more to have had to evacuate when the final fall of Phnom Penh occurred.

Not long before that fall -- in February of this year -- Jack Brady and I made another visit to Cambodia, as staff members assigned to the Congressional delegation which went to Indochina at the behest of the President.

The Ambassador was not happy to see us. He has been named a defendant in the legal case. But he confirmed that the "headspace" practice had come to an end soon after our last visit.

This incident points up some of the points I made earlier.

Often the information can be gotten no other way except through a fact-finding mission abroad. In this instance, though someone in Washington obviously knew about the headspace violation, the information was not of the type to be volunteered to Congress. It had to be found out in Cambodia.

Second, the experience and background of the investigators is important. I had been in Cambodia before and knew the law on the 200-man ceiling. Jack Brady has a U.S. Army background which gave him an understanding that the personnel "bookeeping" system involved in "headspace" was an adaptation of a military procedure.

Third, the uncovering of information of this sort can result in changes of Executive Branch policies which are at variance with Congressional intentions.

Two Additional Points

Before closing, two additional points deserve discussion.

First, staff study trips are best taken in pairs, or with three persons. Solo performances should be left to the members.

Why? Because two heads being better than one is not just a musty adage -- it is true. Second, for corroboration of evidence. Executive Branch officials sometimes have a tendency later to deny what they have told a Congressional investigator. Rather than have one man's word against another, it is far preferable to have one man's word against two others.

On the Committee on International Relations we must, by Committee practice, travel in pairs.

In the Senate, however, some members of the Foreign Relations Committee sometimes found it hard to understand why both Moose and Lowenstein had to go, when a single air fare might have sufficed.

Second, as a result of the Moose and Lowenstein successes, some political scientists have suggested that the Congress establish watchdog staffs in various parts of the world to provide the members with information.

That just won't work. Staff members who are far removed from the Committee and the Congress they are to serve will lose the daily close contact with members which is essential to building trust and rapport. Such staffs would be able to do little more than the GAO now is able to do.

At the same time, it might be advisable for the relevant committees to increase the number of teams available for investigations abroad. The Committee on International Relations has acted recently to strengthen its capabilities by hiring a young auditor and attorney with experience in reviewing foreign assistance programs abroad.

Conclusion

In conclusion, it must be remembered that the Congressional staff survey abroad is only one of a number of ways in which the Congress can exercise its oversight responsibilities in the area of foreign affairs.

This oversight process must be a continuous one, involving hearings, studies and other forms of research into executive branch activities abroad.

But the staff study has proved its worth and is on its way to becoming an institutionalized method of providing necessary oversight information to the Congress.

DISCUSSION

Several points especially pertinent to the relationship between evaluation and oversight were raised in the discussion following Dr. Sullivan's paper.

As noted by a previous speaker, there is a difference between process and impact evaluation. Process evaluations answer questions about the efficiency of program management and use data normally collected in administering a program. Impact evaluations are designed to answer questions about whether a program caused a change in the participants' behavior and or attitudes. Data usually collected in the normal course of administering a program are insufficient to answer impact questions. The differnce between these two types of evaluations was demonstrated in the committee's investigation of the use of birth control pills in Southeast Asia. The Agency for International Development collected information on the distribution of the pills and correlated this with birthrate data. However, this type of process evaluation was insufficient since it did not provide information to describe the side-effects of birth control pills on the women participating in the program. Thus in this case, the process evaluation criterion of efficiency, measured in terms of distribution of birth control pills was not sufficient to identify problems relating to the adverse impacts of the program.

It was also noted that since agencies have vested interests in maintaining programs and budget, frequently they are reluctant to report problems which might indicate program failure or deficiency.

Several questions were raised about the pros and cons of using GAO versus committee staff investigators in overseas oversight activities. It was noted that GAO investigations sometimes are inadequate. Several reasons were given. First, agency field personnel may accord more "weight" or status to committee investigative staff than to GAO staff investigators. Also GAO investigations usually take longer to do. However, frequently GAO investigative staff develop important leads, which committee staff then follow.

Several additional remarks were made about the use of committee investigative staff for overseas field work. Dr. Sullivan remarked that usually it is advantageous to detail two or three staff to an assignment, since it may be necessary to have someone corroborate information which may later be denied. It may also be useful to use both majority and minority staff in such investigations since, unlike GAO staff, committee staff members have rapport with committee chairmen and members and immediate access to them.

"THE FREEDOM OF INFORMATION ACT," WILLIAM G. PHILLIPS, FORMER STAFF DIRECTOR (1971-1975), FOREIGN OPERATIONS AND GOVERNMENT INFORMATION SUBCOMMITTEE, HOUSE COMMITTEE ON GOVERNMENT OPERATIONS 39/

I. Introduction

This case study of legislative oversight by the House Foreign Operations and Government Information Subcommittee 40/ of the Government Operations Committee represents a unique situation in several respects. First, it involves a subcommittee's activities where the same Government Operations Committee unit has both oversight and legislative jurisdiction, and is one of the few cases where the Government Operations Committee exercises such broad substantive legislative authority. Moreover, the case study, which spans a period of 3 1/2 years, began with an intensive series of oversight investigations and hearings on the administration of the Freedom of Information Act (5 U.S.C. 552), and proceeded through every step of the legislative process as well -- hearings on recommended amendments, committee action, floor action and passage in the House and Senate, and finally culminating in their enactment into law over a Presidential veto.

39/ For a detailed legislative history of the 1974 amendments to the Freedom of Information Act, see Joint Committee Print, House Government Operations Committee and Senate Judiciary Committee, "Freedom of Information Act and Amendments of 1974 (P.L. 93-502)." Washington: U.S. Government Printing Office, March, 1975.

40/ The name of the subcommittee was changed to "Government Information and Individual Rights" at the beginning of the 94th Congress (January 1975).

The Freedom of Information Act of 1966 (FOIA) (P.L. 89-487) 41/ was a milestone enactment, providing that "any person" might have access (with certain exceptions) to rules, opinions, orders, and other types of public records of various agencies of the executive branch of the Federal Government. The product of more than a decade of investigations, studies, reports, and vigorous advocacy for the "people's right to know," the 1966 law was an amendment to section 3 of the Administrative Procedure Act of 1946. It reversed long-standing information policies and practices of the Federal executive bureaucracy by establishing the right of public access (including corporate entities) to various types of identifiable Federal agency records not falling within the nine categories of exemptions specified in the act. It gave the public the right to sue in Federal court to obtain the records. There was no requirement that a person be required to state his reasons for wanting the information and it further required that the burden of proving the legal justification for withholding of requested records in each case be the responsibility of the Federal agency involved.

Withholding of information by a Federal agency must be justified on the basis of one or more of the nine specific exemptions permitted by section 552(b) of the act. They relate to matters that are:

(1) Specifically required by Executive order to be kept secret in the interest of the national defense or foreign policy;

(2) Related solely to the internal personnel rules and practices of an agency;

41/ Codified as Section 552, title 5, U.S. Code by P.L. 90-23, with slight modifications, on June 5, 1967.

(3) Specifically exempted from disclosure by statute;

(4) Trade secrets and commercial or financial information obtained from a person and privileged or confidential;

(5) Inter-agency or intra-agency memorandums or letters which would not be available by law to a party other than an agency in litigation with the agency;

(6) Personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy;

(7) Investigatory files compiled for law enforcement purposes except to the extent available by law to a party other than an agency;

(8) Contained in or related to examination, operating, or condition report prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions; or

(9) Geological and geophysical information and data, including maps, concerning wells.

The act makes it clear in section 552(c) that the exemptions have absolutely no effect upon congressional access to information:

This section does not authorize withholding of information or limit the availability or records to the public, except as specifically stated in this section. This section is not authority to withhold information from Congress.

Investigative efforts on information policies and practices of Federal agencies were initiated in 1955 by the subcommittee's predecessor-- the Special Subcommittee on Government Information. They were spearheaded in the House by Representative John E. Moss (D., Calif.), its chairman until 1971. Similar activities were carried on in the Senate by the Administrative Practice and Procedure Subcommittee of the Judiciary Committee, first under the chairmanship of Senator Thomas Hennings (D., Mo.), and later by Senator Edward V. Long (D., Mo.).

Voluminous House and Senate hearings, staff studies, and committee reports disclosed the widespread "secrecy practices" employed by

the executive bureaucracy. Increasing attention was also being directed at abuses of Government secrecy by the news media, its professional organizations, and distinguished students of journalism such as the late Harold Cross. Under the guise of "national security" or the cloak of "administrative anonymity," vast quantities of information generated by Federal agencies were hidden from public scrutiny, often to avoid political embarrassment, bureaucratic mistakes, administrative decisions contrary to the public interest, cost overruns, or to cover up conflicts of interest, or corruption.

When congressional hearings were held in the Johnson administration on legislation to correct these abuses, executive branch witnesses were unanimous in their opposition. Freedom of Information legislation, they contended, would destroy the effective operation of Federal agencies by bogging them down in processing vast numbers of requests for information from citizens and the news media. Even after Congress had unanimously passed the bi-partisan bill which subsequently became the Freedom of Information Act in 1966, secrecy-minded bureaucrats pleaded with President Lyndon Johnson to veto the measure. But Johnson ignored these pleadings and signed the Freedom of Information bill into law on July 4, 1966, stating that "a democracy works best when the people have all the information that the security of the Nation permits." It became effective one year later-- July 4, 1967.

Another unique aspect of this milestone law is that <u>each</u> Federal agency -- presently more than 100 -- administers the provisions of the FOIA within the agency, based on its own agency regulations promulgated in the <u>Federal Register</u> and based on legal interpretative

guidelines of the Attorney General. Only minimum consultative assistance is provided to agencies by the Justice Department's Office of Legal Counsel through its Freedom of Information Committee, established as an informal information clearinghouse in December, 1969. This means that congressional oversight over the administration of the FOIA must necessarily involve scrutiny of the information activities of each of the more than 100 Federal agencies subject to its provisions -- a most tedious, time-consuming task for the handful of House and Senate staff personnel assigned the task by the two subcommittees having jurisdiction over the act.

II. House Oversight Plan Formulated in 1971

During the four years following the effective date of the FOIA, House and Senate subcommittees had engaged in only sporadic, limited types of oversight activity. Initial agency regulations to implement the act were reviewed for compliance with congressional intent and a compilation was published as a House Committee Print. The Senate committee had compiled a 10 month review of the operation of the new law. Both staffs had on numerous occasions acted as "informal ombudsmen" in providing information and assistance to congressional offices, historians, the news media, and the general public involving requests to agencies for Government information under the FOIA.

The reorganization of the House Government Operations Committee at the beginning of the 92nd Congress resulted in the appointment of a new subcommittee chairman, Representative William S. Moorhead (D., Pa.). One of the priority targets agreed upon by the subcommittee was a thorough investigation of the operation of the four year old FOIA,

which had then operated for approximately two years under a Democratic (Johnson) administration and two years under a Republican (Nixon) administration.

The FOIA oversight plan, as formulated in the spring of 1971, involved several stages to take full advantage of dramatic events that focused on the latest public disclosures of widespread Government secrecy. Late in June, the subcommittee commenced public hearings on the various issues of Government information policies and withholding practices involved in the so-called "Pentagon Papers" controversy. These hearings and follow-up subcommittee inquiries in 1972 focused on classification operations within the executive branch under the security classification system established by President Eisenhower in 1953 (Executive Order 10501). These hearings also explored the relationship of such "classified" types of information to the FOIA exemption, legal and constitutional questions involved in publication of the "Pentagon Papers" by the New York Times and Washington Post, and matters of public policy in the field of Government information.

The next stage was the extensive preparation for in-depth oversight hearings by the subcommittee on the administration of the FOIA by Federal agencies. A detailed questionnaire was formulated by midsummer 1971 and was sent to each of the Federal agencies subject to the FOIA. The questionnaire sought voluminous types of statistical records from the agencies --

* How many formal requests were made for information under the act?

* How many requests were granted? How many denied? Which of the nine exemptions was involved in each denial? How many were granted after intra-agency appeal processes? How many such cases ended up in the courts? What was the outcome in each case?

* What types of groups, corporations, or individuals made requests for information under the FOIA? How many requests for each category of requester?

* How does the security classification system of the agency function under Executive Order 10501? How many officials are authorized to classify information under each of the three classification levels?

The data requested was to cover the period of the effective date of the FOIA (July 4, 1967) through July 4, 1971. Before the questionnaire was formally sent to executive branch agencies, it was "pretested" by discussing possible questions with a number of Government officials who would have the eventual responsibility of responding to the questionnaire. Because of the volume of data requested, a 3-month period was provided for agency replies. All but a few agencies complied, although several claimed they had kept no such records on the FOIA.

The expert assistance of the Congressional Research Service, Library of Congress, was solicited at an early stage in the formulation of the oversight plan. Responses to the questionnaire were analyzed and tabulated by Dr. Harold Relyea and Ms. Sharon Gressle of the Government and General Research Division of CRS. Other related research papers, case analyses, and background data were also prepared. Additional expert consultant assistance in this project was also provided by CRS to the subcommittee staff and Members.

The final analyses and tabulations of data provided by agencies in response to the subcommittee questionnaire were completed by CRS personnel early in 1972 and preparations for oversight hearings in the spring began. A group of representative executive agencies were selected to appear at the hearings on the basis of the questionnaire

analysis. They included old-line departments, newer departments, independent regulatory agencies, boards, military services, executive agencies, commissions -- a broad cross-section of the executive bureaucracy.

Those with better than average records of compliance with congressional intent in the administration of the FOIA were included, along with other agencies whose records of administering the FOIA were a negative quantity. Subcommittee staff personnel spent several weeks in individual conferences with the key officials of departments and agencies to be called to testify at the oversight hearings. Additional information to supplement questionnaire data was obtained in this way. Information provided by the agencies was also clarified in some cases; dates of appearance and names of the most knowledgeable agency officials to testify were likewise negotiated during this informal staff consultative process. Extensive efforts were also made by the subcommittee staff to solicit the testimony of certain key non-governmental witnesses who could provide expert testimony from their vantage point on the positive and negative aspects of agencies' administration of the FOIA.

The subcommittee's public oversight hearings on the administration of the act consumed fourteen days of intensive inquiry during the months of March and April, 1972. Some fifty witnesses testified, including spokesmen for a broad cross-section of executive departments and agencies, plus news media representatives, attorneys experienced in FOIA litigation, former Government officials involved in FOIA matters, academicians, and representatives of organizations utilizing the FOIA.

The next stage of the subcommittee's oversight work took place during the months of May and June, 1972. Additional hearings were held on special aspects of the FOIA's operations, including several days on the functioning of the security classification system in the executive branch under Executive Order 10501 and the ways in which that system would be affected by the new Executive Order 11652, issued by President Nixon in March, 1972. Other hearings were held on the issues involving the right of Congress to information from the executive branch and on the information functions of the approximately 2,000 Federal advisory committees which exert tremendous influence on governmental policy decisions -- mostly in meetings held behind closed doors.

All told, the 1971-1972 oversight hearings of the subcommittee -- spanning a 12-month period -- involved 41 days of public hearing; testimony was received from 142 witnesses who furnished 9 volumes of valuable information on every conceivable aspect of operations of the FOIA and matters relating to the dissemination, as well as the withholding, of information by executive agencies of the Federal Government.

With the conclusion of the subcommittee's series of FOIA oversight hearings in June, 1972, work began immediately on the next stage of the plan -- the drafting and consideration of a comprehensive investigative report based on these hearings. The initial staff draft was completed during the summer, edited and revised during bipartisan staff meetings, and circulated among members of the subcommittee. It was further revised during subcommittee mark-up sessions, unanimously approved, and forwarded to the full Government Operations

Committee membership for further consideration. There it was discussed, further amended, and unanimously adopted by the full committee late in September, 1972. The 90-page report was subsequently issued as H. Rept. 92-1419. ("Administration of the Freedom of Information Act").

The report described the major problem areas in the operation of the act, documenting each by specific examples from the hearing record. They included: (1) bureaucratic delays in responding to requests for information; (2) abuses of fee schedules for search and copying of requested records; (3) cumbersome and costly legal remedies to contest agency withholding of requested information; (4) the lack of involvement of public information personnel within agencies in the decision-making process affecting disclosure or withholding of requested records; (5) the relative lack of use of FOIA by the news media; and (6) the lack of a more positive attitude toward FOIA by top-level administrators of executive agencies and departments.

The report also made a series of recommendations to the agencies to improve their administration of the act and set forth a separate series of recommendations calling for substantive amendments to the FOIA requiring further legislative consideration by the committee. Bipartisan bills were introduced by Chairman Moorhead and other members to implement these legislative recommendations during the next several months. This led into the next stage of the subcommittee's plan -- legislative hearings on proposed amendments to strengthen and improve the operation of the FOIA.

Five days of legislative hearings were held on such bills by the subcommittee during the first two weeks in May, 1973. Executive branch witnesses flatly opposed any amendments to strengthen the FOIA. However,

the legislation was supported by the American Bar Association's Administrative Law Section, news media witnesses, and many other organizations and individuals familiar with bureaucratic subversion of congressional intent of the original FOIA.

Subcommittee mark-up sessions continued through the fall in an effort to obtain a bi-partisan consensus on a package of workable amendments to the act but final agreement was not reached until early the following year. A clean bill representing the bi-partisan compromises reached during the subcommittee mark-up meetings was introduced in January, 1974 and the measure was cleared for action by the full Government Operations Committee.

The bill (H.R. 12471) was considered by the full committee and unanimously reported to the House on February 21, 1974. (H. Rept. 93-876). It contained more than a dozen substantive amendments to the act to correct the major deficiencies in its operation described in the committee's investigative report. A few weeks later the bill was debated on the House floor and passed, with minor technical amendments, by a vote of 383-8 and sent to the Senate.

Meanwhile, during the spring of 1973, the Administrative Practice and Procedure Subcommittee of the Senate Judiciary Committee, chaired by Senator Edward M. Kennedy (D., Mass.), and two Senate Government Operations Committee subcommittees having overlapping jurisdiction in the field of the FOIA and Government secrecy generally had also held extensive joint hearings in this same area. Some 11 days of hearings were held and testimony was received from over 40 witnesses, amounting to 3 volumes of printed proceedings. The Senate version of the 1974 FOIA

amendments, quite similar to the House bill, was favorably reported early in May and passed the Senate, with amendments by a vote of 64-17 on May 30th.

The House-Senate conference committee met in public sessions on 4 days during the month of August, 1974 to resolve differences between the two bills. The meetings overlapped the resignation of President Nixon and the swearing-in of Vice President Ford as President. The new President requested that the conferees defer further conference action until he had an opportunity to study the legislation and to submit his views. The request was honored and President Ford subsequently transmitted a letter to the conference committee detailing several major objections to specific provisions of the measure. The conferees later agreed to several important compromises in an effort to reach an accommodation of conflicting executive and legislative views. Conference agreement was finally reached in September, 1974 and the conference report was routinely adopted early in October by both the House and Senate and the bill was sent to the White House.

Just prior to the congressional recess for the November elections, President Ford surprisingly vetoed the legislation. Virtually every executive agency had recommended such action, just as the bureaucracy had recommended to President Johnson that he veto the original 1966 law. But the Ford veto, on the heels of his public pledge to advance the cause of "open Government" was unexpected. The dramatic unfolding of the sordid details of the Watergate coverup, paralleling congressional consideration of the FOIA amendments in 1973 and 1974, had obviously helped to persuade Congress and the public of the need for a stronger law to protect the public's "right to know".

71-867 O - 76 - 14

The Presidential veto of the 1974 FOIA amendments was considered by the House on November 20th and overriden by a vote of 371-31. The Senate followed suit the next day by a 65-27 vote and the bill became P.L. 93-502. The amendments became effective on February 19, 1975 -- 90 days after enactment. 42/

III. Some General Observations

General observations below on the role of a congressional subcommittee or committee in its exercise of positive oversight and/or program evaluation are based on both the case history of the 1974 amendments to the Freedom of Information Act as set forth above and on extensive work of the Foreign Operations and Government Information Subcommittee in the foreign operations area of its jurisdiction during the same 1971-1975 period.

Much of the subcommittee's activity in this part of its jurisdiction was concentrated on the operation of various types of U.S. assistance to South Vietnam, Laos, and Cambodia in the late 1960's and early 1970's through programs administered by the Agency for International Development (AID).

It held extensive investigative hearings into such subject areas as the operation of the illegal black-market in these countries, narcotics trading, the smuggling of gold, diversion of U.S. funds and property, the so-called "Phoenix" program, refugee relief, health programs, the U.S. propaganda assistance provided the Government of South

42/ Details of the 17 major substantive amendments to the 1966 act incorporated in P.L. 93-502 are discussed at pages 113-116 of the Joint Committee Print (March, 1975) cited above.

Vietnam (GVN) by the USIA, the conduct of the South Vietnamese national elections, public works assistance, currency stabilization programs, and many other non-military assistance efforts provided by the U.S. to the then existing Governments of these three countries.

During these investigations, the subcommittee utilized a number of outside investigative sources. They included field work by General Accounting Office personnel in Vietnam on the "pacification" program that resulted in a report and subsequent testimony at subcommittee hearings on the subject by top officials of the GAO's International Division. Other information was obtained through cooperative agreements at the staff level with personnel of the House Foreign Affairs and Senate Foreign Relations Committee. On a number of occasions, valuable leads for investigative follow-up were obtained from "whistle-blowers" with first-hand information about what they felt were violations of congressional intent or outright corruption in the administration of various AID programs in these countries. Other useful data was obtained by subcommittee staff investigators through interrogations of agency personnel or through information furnished by AID witnesses called to testify on specific allegations or on general program activity being conducted in those countries.

Throughout the foreign operations portion of the subcommittee's oversight functions during this period, there was an "adversary" relationship with the executive agency. Members and staff became wary of the value of official information furnished by AID officials because of the many examples of inaccurate or misleading data provided

during hearings or on request to the agency. During one of the subcommittee's investigation of the AID program in Cambodia, President Nixon exercised "Executive privilege" to withhold documents that had been requested from the agency, documents of the type that had been routinely furnished the subcommittee on a regular basis involving many other countries (including Cambodia) for many years.

Perhaps one logical explanation of this "adversary" position is that less executive-legislative branch cooperation can usually be expected when the Federal Government is operating during a period of divided responsibility -- one branch controlled by one political party and one by the opposite party -- as has been the situation during the past 7 years. Many of these same observations can be made with respect to the adversary relationships between the subcommittee and executive agencies during the oversight and legislative activities involving the Freedom of Information Act.

One effective technique utilized by the subcommittee during its investigation of AID program activity in Laos involved the use of a member of the staff as the lead-off witness to put into precise context the scope and detail of staff investive efforts. By narrative summary, he described in testimony the ways in which the various programs functioned, presented evidence of waste and maladministration he had uncovered, and set the stage for subsequent cross-examination of responsible AID officials at another subcommittee hearing.

Congressional oversight might well be divided into three main categories --

1. "Routine" oversight, for example, would be the day-to-day monitoring of agency regulations as published in the Federal Register

to implement the 1974 FOIA amendments -- contacting responsible agency personnel to call attention to technical errors, misinterpretations of congressional intent, or to request clarifying amendments to the regulations.

Another example of a "routine" type of oversight would be informal briefing sessions of subcommittee members and/or staff with officials of an agency to become more familiar with a specific program, to become better acquainted with agency personnel, to clarify a policy or operational change of the agency, or as a preliminary step prior to the scheduling of oversight hearings with the particular agency. Unless there was a major controversy involved, the subsequent hearing with agency officials would also be considered as "routine" oversight.

2. "Special" oversight differs from "routine" in that it usually represents a major effort of the subcommittee in an important area of its jurisdiction that has a high priority. Special oversight work also indicates the need for a long-term series of investigations, hearings, sometimes requiring the use of expert consultants, General Accounting Office investigative work, staff liaison with the staffs of other House and Senate committees having collateral jurisdiction, field investigative trips, and other types of in-depth studies. It also means that the results of such "special" oversight will not only be valuable as part of a major investigative report of the committee, but are also likely to include longer-range legislative recommendations that relate to amendments to statutes falling within the committee's jurisdiction. Subsequent legislative actions to implement these recommendations would also be a part of the overall plan.

The case study of the 1974 Freedom of Information Act amendments covering more than 3 years of oversight and legislative activity by the subcommittee would be a prime example of such "special" oversight.

3. "Guerilla" oversight, the final category to be discussed here, is -- as the title implies -- a type of "spot checking" of miscellaneous activities by agencies coming within the scope of the subcommittee's jurisdiction. It differs from the type of "routine" contacts with agency officials mentioned above in that it will more likely represent an adversary or conflict situation. Often, the impromptu visit of a staff investigator to the office of an agency official, or a telephone call to discuss some agency program, decision, or other action of interest to the subcommittee can have a very salutary effect.

If additional impact is considered necessary, the subcommittee chairman might call a "1-day" hearing to follow-up the preliminary contact and to dramatize the agency shortcoming in that particular case. The resulting publicity may prompt quick remedial action by the agency. A formal committee report may then be issued to focus added attention of the Congress and the public on the agency's inept behavior.

DISCUSSION

Several important points were raised in the discussion following Mr. Phillips' presentation. In summary these are:

(1) Good oversight, and the information gathering and analytical skills which underlay good oversight, require very competent professional staff;

(2) Good oversight generally requires the adoption of an adversary stance between the executive and legislative branches regardless of the bipartisanship of the issue or the fact that the President and the majority in Congress may be of the same party;

(3) An analytical research organization which ascribes to the ethics of objectivity and non-partisanship generally cannot perform all the tasks required for good oversight, since oversight has to take place in the political arena. The appropriate role for CRS is as an information resource not an evaluator. Generally the smaller the congressional committee oversight staff, the larger the CRS assistance role in oversight.

(4) The credibility of an investigative staff person is usually not diminshed if he or she delivers testimony before the congressional committee. However, investigative staffers should be able to weigh the information gathered according to both majority and minority points of view if these views differ.

(5) Adequate routine oversight can be obtained frequently through normal responses to constituent inquiries.

(6) Oversight would be improved if committee staff gave more attention to the Federal regulations that agencies issue. It is important to assess whether the regulations correspond to the intent of the Congress in passing the mandating legislation for a program. Usually not enough attention is paid to regulations printed in the Federal Register.

"CONGRESSIONAL COMMITTEE CASE STUDIES: STUDIES IN PUBLIC WELFARE"
ALAIR A. TOWNSEND, FORMER RESEARCH DIRECTOR OF THE SUBCOMMITTE
ON FISCAL POLICY, JOINT ECONOMIC COMMITTEE.

Thank you for the opportunity to discuss with you how and why the Subcommittee on Fiscal Policy conducted a comprehensive public welfare study that resulted in the 24-volume series entitled Studies in Public Welfare.

Origin of the Study

The focus and nature of our study was shaped by a legislative debate, out of which it grew directly. The debate was over the Family Assistance Plan, the Presidential proposal first advanced in 1969 to establish a Federal minimum income floor for all families with children. As you know, former Representative Martha Griffiths, who was chairman of the subcommittee, also was a senior member of the House Ways and Means Committee, which handles a substantial portion of public welfare legislation.53/ The deliberations of the Ways and Means Committee in 1970 and 1971 on the Family Assistance Plan, known was FAP, convinced Mrs. Griffiths and others of the necessity to analyze FAP and related plans in the context of all the existing income-tested cash assistance programs, the in-kind programs offering food, health, day care and housing benefits, and the social insurance programs -- such as social

* Ms. Townsend was Research Director of the Subcommittee on Fiscal Policy during its study of public welfare programs. She is now Senior Analyst - Human Resources for the House Budget Committee. Views expressed are the author's only, and do not necessarily reflect those of the House Budget Committee, its members or staff.

53/For Mrs. Griffiths' own statement of her concerns in conducting the study, see attachment 1, her "Foreword" to Income Security for Americans. Her statement of appreciation also shows the range of assistance received and resources utilized in the course of the study.

security and unemployment insurance -- rather than simply in the context of the existing public assistance programs. In the FAP debate attention was directed to the following problem areas.

1. Adequacy of Benefits. First, in order to assess the adequacy of FAP benefit levels, policy-makers had to know what other benefits and private income were available to potential FAP recipients and how they were distributed. Lacking this information, one could not know the combined benefit and income levels that were implicit in the legislation. For example, the original FAP basic cash benefit level, $1,600 annually per family of four in 1969, appeared to be cruelly low to some, but for many recipients this was to be supplemented by State welfare payments and by the benefits that usually are attached to enrollment in the program of Aid to Families with Dependent Children (AFDC). These fringe benefits include free medical care, free school lunches for the children, eligibility for food stamps or surplus food commodities, and, often, free day care. Depending on the State in which it lives, a family of four with no other income now can receive a package of benefits that would require the equivalent of more than $7,500 in gross earnings (that is, earnings before taxes and work expenses are paid) to purchase. Of course, AFDC families in many areas receive nowhere near this amount, but during the FAP debate no one was very certain who received what because benefits in the form of food, health, and housing rarely are included in official census-style surveys, and measurements of the extent of poverty do not count the value of such benefits in summing the incomes of the poor.

2. Work Incentives. Another reason for evaluating reform plans such as FAP in a broad programmatic context is that the level of combined cash, food,

housing, health, and other benefits is only one factor in determining the effect of such plans on work incentive. Equally important is the way in which benefits are tailored to income.

Today, many programs have sliding scales of benefits that fall as income rises. Some of these benefit-reduction or benefit-loss rates are high and some are low. Unemployment insurance typically has a 100 percent benefit-loss rate--that is, a dollar earned is a dollar of unemployment compensation lost. AFDC benefits generally are reduced by 67 cents for each dollar of net earnings. As income rises by $1.00, you must pay about 30 cents more for the same amount of food stamps and about 25 cents more in public housing rent. If income rises above a certain level, you may lose eligibility for medicaid completely. The cost of day care may increase if the center bases its fee schedule on family income. The basic opportunity grant program also provides scholarships based on family income, and the higher the family's income, the lower the aid.

The number of programs based on need seems to be increasing, and, thus, the number of low- or even middle-income families eligible for multi-benefits. Since each program takes its share of increased income, the cumulative effect sometimes is that recipients lose more than a dollar in benefits when they earn an extra dollar.

If simply superimposed on existing programs, new proposals worsen this problem. The Family Assistance Plan suffered fatal attack after it became clear that it both raised the guarantee level for penniless persons receiving various combinations of benefits, and more importantly, raised to extraordinarily high levels the rate at which combined benefits would have to be surrendered if earnings rose. The work incentives so carefully built into FAP would have been undermined by the program's interaction with others.

3. Equity of Benefits. The equity of benefits became another issue in the

FAP debate. The distribution of existing benefits, especially those tied to eligibility for AFDC, was unfair. Most of the cash aid was unavailable to "employables," no matter how poor they were. Fully employed fathers, for instance, were ineligible for AFDC, even though such families were a significant part of the poverty population. The Family Assistance Plan, by opening up Federal cash aid to intact families, promised to reduce the discrimination against male-headed families. But, critics countered, as long as FAP benefits were lower than the AFDC benefits provided by some States, and as long as eligibility for other benefits such as medicaid was tied to AFDC, inequities could be reduced but not eliminated.

That criticism was valid but it was not generally appreciated how much male-headed families already were receiving in benefits to supplement low income. In fact, some States and localities were supplementing the earnings of working fathers under their own general assistance or home relief programs; such working men were eligible for the food stamp program, which acquired national eligibility rules during the FAP debate and expanded to cover most of the Nation. Intact families were eligible for public housing and other subsidized housing programs on a space available basis like everyone else; and in some States they--or their children--were eligible for free medical care under medicaid. If they were employable but unemployed--whether fully or partially--many were eligible for unemployment insurance or for the unemployed father portion of AFDC, available in about half the States. However, the extent to which such programs helped to reduce the inequities created by AFDC or potentially residual under FAP was unknown because little data existed on who was benefiting from these programs. Thus, to judge the effect of FAP on equity of benefits as well as their adequacy, new data were needed.

4. Administration and Program Planning. The problem of administering this complex set of programs came into focus in the FAP debate. Rapid expansion of such programs as AFDC and food stamps was outpacing the ability of administrators to handle them within existing organizational structures. Administrative confusion was created by the complex, ever-changing rules and eligibility requirements. Result: rather substantial numbers of ineligible persons received benefits while some eligible persons were rejected. While each program had its own problems, administration of multiple programs at the local level generally was uncoordinated. A single family could be affected by several programs, none of which shared information or administrative burdens. The result was inefficiency and confusion. Rather than cutting and paring, it appeared to many that FAP was only adding another layer. They wondered: "Can't we develop a plan that can consolidate and substitute for some of those that currently exist?"

5. Need for Overview. Despite these complex interactions among our growing body of programs designed to affect standards of living, neither the structure of Congress nor of the Executive agencies facilitates their analysis. Considerable analytical work is done by congressional committees, the Executive agencies, and nongovernmental researchers before major legislation is changed. But in general such analysis focuses exclusively on one program at a time--the one under consideration. Rarely is the set of programs reviewed in its entirety. The result is that intended changes in one program often are countered by features of an overlapping program. For instance, the work-refusal penalty of the AFDC program--a reduction in cash benefits--is largely cancelled, in some States, by higher food stamp benefits.

The Congress and the Executive agencies are organized in programmatic terms and have jurisdictional boundaries. For example, if we look only at

the 21 major income maintenance programs with some Federal funding, we find they fall under the jurisdiction of 10 committees of the House and 9 of the Senate, and they are administered by 11 Federal agencies. No single committee has the duty to view them all, even though the programs reach many of the same persons. Each passes legislation affecting directly only a few programs with different eligibility requirements, different benefit levels, different treatment of income.

Proliferation and fragmentation of programs have created serious technical and policy problems, but they went unrecognized until the FAP struggle. Once the FAP debate raised such issues in the Congress, it appeared that one committee was well suited to review the entire complex of programs cutting across many jurisdictions. This was the Joint Economic Committee, which is non-legislative and has a broad study mandate. Mrs. Griffiths and the Subcommittee on Fiscal Policy received a separate appropriation to conduct this study, and report findings to the full Congress. The major rationale for this study was to determine ways to integrate and rationalize this growing array of income-related benefit programs.

To summarize the background of the subcommittee's study, our task was to go beyond the one-at-a-time program review generally performed. We were to review the entire set of income support programs and report to the Congress on the effects of these programs with regard to:

1. The distribution of benefits, especially in various combinations;
2. Questions of adequacy;
3. The impact on incentives with respect to family structure and work effort; and
4. Administrative efficiency.

The Product

The study lasted for three and one-half years. Its product was twenty-four volumes of staff-level studies, four volumes of hearings, a summary report with recommendations endorsed by the majority of subcommittee members, a reform proposal in bill form, and numerous articles published under other auspices. Several of the most innovative projects had been conceived in advance by Chairman Griffiths. She knew well what the information gaps were for policy-makers, and had outlined in some detail particular studies necessary to fill them. Throughout the study, Mrs. Griffiths' guidance and practical knowledge of programs, issues, and how to present information were extremely important to staff. Her accessibility and direct participation in all phases were key elements in maintaining policy relevance.

While the chairman had presented a working staff study plan to subcommittee members in the early stage, many projects simply evolved during the study period. There was sufficient flexibility and time to permit follow-through on good ideas.

Resources

Studies of the scope intended here, on complex programs, require commitment of resources, time, and patience. It takes time to assemble a staff and to collect and compile information to do a thorough job. In the case of the subcommittee, the initial funding was for two years, extended to three, then to three and one-half years.

The staff was a carefully selected mixture of a variety of skills and disciplines. It was essential, for example, that there be several persons with strong institutional knowledge, who knew in detail the laws and regulations under which the major programs were administered, and who also

knew how the programs actually operated in the field, since frequently there is a wide gulf between formal rules and their application. Similarly, we needed persons with hard research and quantitative skills, who could help design surveys and analyze data. The staff approached most projects as a team, and the various skills and perspectives of individual staff members strengthened each project.

A strong staff was essential in directing and reviewing work done by outside researchers free or under contract, and in monitoring projects undertaken for us by Executive agencies, CRS, and GAO. Proper control of a project, in my view, requires a strong committee staff--not to control findings, but to retain the desired focus. These "outside" (non-committee staff) resources are not limitless, and should not be squandered by lack of direction.

Other than staff, our major resources were the GAO, CRS, outside researchers, State and local program agencies, the House Information Systems staff, and Executive agencies. In any given project that involved non-staff resources, the approach was to have a staff specification of the project and the help required, followed by regular monitoring.

One of our major projects, for example, involved our staff, the GAO, and the House Information Systems staff (HIS). The goal was to learn more about the distribution of benefits, and combined benefits in particular. To do this, the staff and GAO chose six low-income study sites. Utilizing city block maps and other available resources, the GAO selected, in each site, a random sample of about 300 households. Combining use of telephone and post office directories with a good deal of imagination, GAO staff identified the members of the sample households. Then, largely without contacting the households, GAO searched the records of over 100 Federal, State,

and local programs to determine whether any household members were participating. They combined these facts by household to produce a program participation profile. (The results were dramatic. Findings showed one family benefiting from 11 programs; many households were participating in three to five programs.) GAO staff coded and keypunched the data, House Information Systems processed it, and our staff wrote the report.54/ All along the way there was interchange between GAO and subcommittee staff, and the division of labor worked well.

In another case, we wanted to learn more about the actual rules applied by States and localities in programs such as Aid to Families with Dependent Children, supplementation for the aged, blind, and disabled, public housing, general assistance, and medicaid. These are programs in which States and localities have considerable discretion. Additionally, we wanted to see what benefit packages might be available to various family types at various income levels in areas across the Nation. Such information did not exist. So we devised a questionnaire to be filled out by State agencies (or their local designees) on programs operating in 100 counties selected on a stratified random sample basis to be representative of the Nation. All relevant assumptions were given, such as age and sex of family members, their work expenses, their income, and so forth. Ten family types and about 6 income levels were specified. Before sending out the questionnaire, our staff computed and filled in Federal, State, and local income taxes and social security taxes if applicable; Federal benefits such as social security and veterans'

54/ See Paper No. 6 as listed on attachment 2.

pensions if applicable; unemployment insurance benefits (with the help of the Department of Labor); public housing benefits (with the help of the Department of Housing and Urban Development); and so on. Completed questionnaires were reviewed by staff, processed by House Information Systems, and reports written by our staff.55/ These two reports--one covering programs for the aged and the second for the non-aged -- were widely circulated within Congress. Detailed information on programs in their counties or States proved to be of great interest to Members.

Our concern with the problems generated by insufficient program coordination naturally led to thinking about how to improve matters. In conjunction with the Institute for Research on Poverty of the University of Wisconsin, the subcommittee sponsored a week long conference on program coordination attended by subcommittee staff, institute researchers, other experts in the field, and, for several days, Mrs. Griffiths. Most participants were asked to write papers about specific existing programs, later edited and published by the subcommittee.56/ To assure maximum usefulness to the subcommittee staff in developing reform options for the chairman, the papers were to cover at least the following topics: a description of the program as it currently operated; the role it played in the income maintenance system; how well or how poorly it meshed with other programs; and optimal restructuring required under each of three specific major welfare options -- a demogrant, an employment-based program, and a negative income tax-type plan such as the Family Assistance Plan.

55/ See Paper No. 10 and Paper No. 15.

56/ See Paper No. 4, Paper No. 5 (Part 2), Paper No. 7, Paper No. 9, and Paper No. 19.

Another use of outside resources involved research and evaluation studies of manpower training programs. Many such studies of program effectiveness had been conducted, largely funded by the Departments of Labor and HEW. But a variety of methodologies was involved, findings sometimes were contradictory, and no general summary was available. One subcommittee staff member undertook the task of critically reviewing each study to determine the overall impact of these programs on the poor.57/

A final type of project involving non-staff resources was compiling a handbook of public welfare programs. Very early in the study, we recognized the need to have in one volume, in easily accessible form, detailed information on the rules under which current programs operate, especially those features that were important in considering questions of program coordination. So we developed a standard format to be used for each of the major cash and in-kind programs that would specify such details as conditions of eligibility; the eligible units (e.g., primary beneficiary only, household, family, etc.); definition of personal income relevant for program purposes; how that income is counted in determining eligibility and benefit amounts; State variations in eligibility and benefit provisions, and other such items. Our primary sources, of course, were the law and regulations. The result was a volume heavily used by our own staff and, we are told, by many others.58/

Programs change constantly, however, and portions of the Handbook were out of date as soon as it was published. At the end of the study we wanted to leave an updated version, but our time and resources were limited. Staff revised our fairly detailed format. Staff, CRS, and the Executive agencies updated the Handbook, using this outline as a model.59/

57/See Paper No. 3.

58/See Paper No. 2.

59/See Paper No. 20.

These examples of our collaborative efforts were intended to make two points. First, there is no substitute for a highly professional staff that knows the substance and programs under review. Second, outside resources will be best utilized when the staff has clearly specified what it wants done and follows the project closely.

As I have mentioned, we made extensive use of the published (and in some cases, unpublished) data from Executive agencies and the considerable program expertise of Executive staff. I think it fair to say, however, that the original data we collected on programs made it a more than even trade. In several cases, agencies collected new data on their programs and participants directly at Mrs. Griffiths' request. The Department of Agriculture, for example, undertook the first in-depth survey of the income and other benefits received by households participating in the food stamp and surplus commodity programs.60/

Presentation of Findings

Doing a good study is one thing; presenting the information in useful formats is another. The work has to be sufficiently technical and scholarly to be credible among researchers, academicians; and experts in the field. But, as congressional staff, these groups were not our principal audience. To reach Members, their staffs, and committees, it was necessary to summarize results in non-technical terms. Every subject matter has its own technical jargon, which can be a barrier to capable, interested persons who should not have to take the time to learn it. Since it is too much to expect each long, detailed report to be read in its entirety by each

60/ See Paper No. 17.

interested person (although I feel strongly that the details have to be there), we made use of chart books, detailed press releases generally sent out with publications to non-press as well as press, and summary volumes. We had published two extensive volumes on the subject of work incentives, for example.61/ But the subject was too important not to attempt a short, summary volume with many charts and graphs.62/

SUMMARY

To summarize, in the case of the subcommittee, there were three elements for a successful study: a chairman interested in and knowledgeable about the subject matter, sufficient time to do a thorough job, and a strong (though not large) staff.

It is too early and quite difficult to determine the impact the study has had or will have on legislation. Two facts are relevant: first, many Members, committees, and staff of both houses, are familiar with the study; second, the study volumes were widely distributed and even used as textbooks in a range of disciplines. In terms of helping to fill information gaps, those are large steps. Moreover, there is much wider recognition that individual cash, food, housing, health, day care, and scholarship programs are simply pieces of a larger income maintenance system. There is a new appreciation of the difficulty of reconciling work incentives with adequacy of benefits in income support operations. If it be true that recognizing and measuring a problem is the first step on the road to solution, the subcommittee study has made a substantial contribution to a better way of helping the poor.

61/See Paper No. 4 and Paper No. 13.

62/See Paper No. 14.

ATTACHMENT 1

FOREWORD

Before I close the books on this survey of income maintenance programs and how they work, I would like to take this last opportunity to thank those who have so kindly helped me either to do the work or to secure the appropriations which made the study possible. The Congressmen are: Wright Patman of Texas, Wilbur D. Mills of Arkansas, ex-Congressman Johnny Byrnes of Wisconsin, George H. Mahon of Texas, the late Frank Bow of Ohio, Gerald R. Ford of Michigan; the Senators are: William Proxmire of Wisconsin, Jacob K. Javits of New York, Abraham A. Ribicoff of Connecticut, and Ernest F. Hollings of South Carolina. I want expressly to thank the subcommittee members for their encouragement in the effort and the subcommittee staff, both current and former members, for the excellence of their work, their patience and their good humor. It was a pleasure to work with them.

In addition, this study would never have been possible without the devoted and untiring efforts of my favorite agency, the General Accounting Office, nor could this study have been completed without the tremendous help of welfare directors and workers throughout the country, particularly those who aided us in the survey of benefits in 100 counties, and the work of those researchers who submitted papers. I want also to acknowledge with gratitude the work of the following persons and organizations: Robert Haveman, director of the Institute for Research on Poverty, University of Wisconsin; Irene Lurie, coordinator of a Conference on Coordinating Income Maintenance Programs, sponsored jointly by the subcommittee and the Institute for Research on Poverty; the House Information Systems staff; the Congressional Research Service, particularly Robert Bostick who prepared charts for the subcommittee, and the Education and Public Welfare Division; Donald Craver of the Government Printing Office, who expertly handled the printing of subcommittee volumes; staffs of the Departments of Health, Education, and Welfare; Agriculture; Housing and Urban Development; and Labor; Robert Lampman and Harold Watts of the University of Wisconsin; Robert Harris, Leo Bawden, and Gary Hendricks of the Urban Institute; Nelson McClung, Treasury Department; David Kershaw, Mathematica; Theodore Marmor, University of Chicago; John Stark, executive director of the Joint Economic Committee; and James Knowles, former research director of the Joint Economic Committee. My deep appreciation goes to all of those named and many more who aided me in completing this historic work.

Perhaps the first question that should be answered is why this is the first congressional study of welfare and related programs. That question I cannot answer. I only know why I believed that one was necessary and why I undertook it.

VI

When I became a member of the Ways and Means Committee in 1962. I was first struck by the incredible inequities of social security, which returned on the same tax payment a greater sum to a man-supported family than to a woman-supported family and more to many families where the woman remained at home than to families where both husband and wife worked, although the latter families might in fact have paid more tax than one-worker families.

Years ago I held hearings on private pensions, and retirees drilled into my head the fact that through quirks in the labor contract or outright dishonesty in the pension setup, they had been deprived of their pensions. Of course, the Nation had been deprived of the tax money that should have been paid on those pensions, and now the Nation maintained these people on welfare.

I watched for whatever else I could find on the law's strange workings.

Some years ago, I received a letter from a woman in my district who earned $5,300 gross per year. She outlined her taxes, her take-home pay and her problems. The next day I received a call from a woman living in a far better area of my district whose home had been purchased under section 235 and who was drawing, she said, $750 per month, untaxed, in AFDC money, including $200 per month for a housekeeper. My "tired lady", earning $5,300, was paying taxes to help support a woman at a $750 rate per month. I seethed. There are no jobs of which I am aware that increase your pay because you have children.

Shortly after that day I began to investigate the possibility of making a complete survey of all income maintenance programs.

When the staff had been assembled I was invited to make a speech on welfare to a church group in Detroit. I asked my staff to tell me what a woman with three children could get in welfare, food stamps, medicaid, and other supplements in my city, Detroit, and in New York, Chicago, Atlanta, and Los Angeles; then to find the median earnings of a woman in those cities. We found, of course, that the woman on welfare did better in every city than the woman who worked at the median wage.

I will never forget some of those hostile questions in that church: "But the woman must pay some money for the food stamps." Answer: "We have considered that. She is still getting a substantial amount of free food." Question: "But she waits all day for a doctor." Answer: "Who doesn't? But the woman who works may give up a day's pay, wait all day, pay $15 to the doctor and $50 for prescriptions." Question: "But she has to take three buses to get to the place to get the food stamps, welfare, etc." Answer: "The woman who works may take three buses twice a day, 5 days a week to get back and forth to work."

The theory of comparing what is given in welfare with what is needed is foolish. "What is needed" is a phony standard set up by a paternalistic middle class. The real standard is what similar people earn, and how they are treated. Few have ever asked what those who work need. Those who have bled for people who have nothing have not demanded that people who work be treated at least as well as people on welfare.

VII

In the coming effort to correct the "welfare" injustices there will be those who say that however much is offered is too little, and those who say that however little is offered is too much. I urge both groups to consider the real world and to ask themselves: "Can we afford this for all in like circumstances, or am I, today, selecting out one small group?"

Personally, I am for the law applying equally to all, and this is the purpose of the entire investigation of income maintenance programs.

This work began because of the inequity in the law. It is dedicated to equality in justice.

MARTHA W. GRIFFITHS,
Chairman, Subcommittee on Fiscal Policy.

ATTACHMENT 2

PUBLICATIONS OF THE SUBCOMMITTEE ON FISCAL POLICY

Papers in the Series: *Studies in the Public Welfare*

Paper No. 1. "Public Income Transfer Programs: The Incidence of Multiple Benefits and the Issues Raised by Their Receipt," Apr. 10, 1972.
Paper No. 2. "Handbook of Public Income Transfer Programs," Oct. 10, 1972.
Paper No. 3. "The Effectiveness of Manpower Training Programs: A Review of Research on the Impact on the Poor," Nov. 20, 1972.
Paper No. 4. "Income Transfer Programs: How They Tax the Poor," Dec. 22, 1972.
Paper No. 5. Issues in Welfare Administration:
(Part 1) "Welfare—An Administrative Nightmare," Dec. 31, 1972.
(Part 2) "Intergovernmental Relationships," Mar. 12, 1973.
(Part 3) "Implications of the Income Maintenance Experiments," Mar. 12, 1973.
Paper No. 6. "How Public Welfare Benefits Are Distributed in Low-Income Areas," Mar. 26, 1973.
"Additional Material for Paper No. 6: How Public Welfare Benefits Are Distributed in Low-Income Areas," Aug. 6, 1973.
Paper No. 7. "Issues in the Coordination of Public Welfare Programs," July 2, 1973.
Paper No. 8. "Income-Tested Social Benefits in New York: Adequacy, Incentives, and Equity," July 8, 1973.
Paper No. 9. "Concepts in Welfare Program Design," Aug. 20, 1973.
Paper No. 10. "The New Supplemental Security Income Program—Impact on Current Benefits and Unresolved Issues," Oct. 7, 1973.
Paper No. 11. "The Labor Market Impacts of the Private Retirement System," Oct. 30, 1973.
Paper No. 12. The Family, Poverty, and Welfare Programs:
(Part I) "Factors Influencing Family Instability," Nov. 4, 1974.
(Part II) "Household Patterns and Government Policies," Dec. 3, 1973.
Paper No. 13. "How Income Supplements Can Affect Work Behavior," Feb. 18, 1974.
Paper No. 14. "Public Welfare and Work Incentives: Theory and Practice," Apr. 15, 1974.
Paper No. 15. "Welfare in the 70's: A National Study of Benefits Available in 100 Local Areas," July 22, 1974.
Paper No. 16. "A Model Income Supplement Bill," Dec. 20, 1974.
Paper No. 17. "National Survey of Food Stamp and Food Distribution Program Recipients: A Summary of Findings on Income Sources and Amounts and Incidence of Multiple Benefits," Dec. 31, 1974.

Paper No. 18. "Issues in Financing Retirement Income," December 27, 1974.

Paper No. 19. "Public Employment and Wage Subsidies," December 30, 1974.

Paper No. 20. "Handbook of Public Income Transfer Programs: 1975," December 31, 1974

Report, "Income Security for Americans: Recommendations of the Public Welfare Study," Dec. 5, 1974.

Hearings in the Series: *Problems in Administration of Public Welfare Programs*

Part 1. Mar. 20, 1972, Washington, D.C.; and Apr. 11, 12, and 13, 1972, New York, N.Y.
Part 2. May 3, 4, and 5, 1972, Detroit, Mich.
Part 3. June 6, 7, and 8, 1972, Atlanta, Ga.

Other Hearings

Open-Ended Federal Matching of State Social Service Expenditure Authorized Under the Public Assistance Titles of the Social Security Act, Sept. 12, 13, and 14, 1972, Washington, D.C.

DISCUSSION

During the discussion it was noted that the Subcommittee was subject to some interest group pressure while doing the study. The type and intensity of outside attention varied depending upon the nature of the issue or program being studied. Some programs were very popular and study of them generated resentment, for instance on the work training programs. Not all outside group pressure was necessarily dysfunctional. Usually the committee did not encounter external criticism. This may have been due to the fact that the committee did not have legislative authority. Another reason may have been the fact that rigorous research and analytical methodologies were used, averting possible criticisms about inadequate quantitative research designs and analysis.

Several points were raised about the administrative costs and benefits of public welfare programs. The subcommittee discovered that administrative costs vary from two to twenty percent of the program costs. Generally only a small fraction of actual program costs are used on data gathering, research, and evaluation. However, much of this data is useless for good evaluation.

Some discussion focused on the organization of program evaluation within agencies. The subcommittee concluded that evaluations should be sponsored by an office attached to the Office of the Secretary of an agency since this insures better access to decisionmaking.

During the discussion, Ms. Townsend elaborated upon a point she made in her formal presentation. Committee staff found it necessary to monitor very closely the work of their outside consultants, especially social science researchers. Even though researchers are on contract to answer specific policy questions, they sometimes orient their work more to meet other goals, including basic research and teaching.

"POLICY FORMATION THROUGH PROGRAM EVALUATION AND SYSTEMS ANALYSIS: A CONGRESSIONAL VIEW," JAMES W. GILTMIER, SENATE COMMITTEE ON AGRICULTURE AND FORESTRY

Ten constituents write, "We want more wilderness," and a congressional eyebrow lifts. One hundred more write and a staff project is initiated. The legislative process -- the business of policy formation -- is in action. It is as difficult to stop as it is to start.

Where will it lead? Who knows?

It's simple enough. Find out what all sides think; run it by the Administration to get feelers on a veto; make a separate check with the Office of Management and Budget to determine what that secret government might think; draft a final bill; run it past a subcommittee, than a full committee for refinement; pass it in the Senate; adopt the conference report; and finally send it to the White House for the President's signature.

Throughout this process, lawyer-lobbyists on both sides of a question, as well as congressional and executive department lawyers are moving the commas and parentheses around in mystical ways. Often the process becomes so cluttered and complicated that it is difficult to remember that "all you wanted to do was drain the swamp," or create a wilderness.

The product of all this is that which is politically possible. It is not always good. Often that product is an overreaction to a situation, but this is often resolved because not enough funds are appropriated to allow the overreaction to cause too much damage.

It's a sloppy, unscientific system which in no way lends itself to a systematic approach. But it's democratic, and that's what really counts.

The Founding Fathers didn't promise us a rose garden, but they did offer the people a voice in where the weeds would be permitted to grow.

Isn't it odd that the compromise and bargaining required to get a measure into law is the very thing that many Americans detest most about our political system. Yet the democracy could not survive without the push and shove of interests against one another until consensus is found. Sometimes these diverse interests are regional, sometimes economic and sometimes social. But it's important in adopting legislation, and thereby setting national policies, that no one's ox get gored too much. It's bad enough in the minds of many Americans that there must be a Government at all. Therefore, Government excesses could tend to lead to a revolution.

Nevertheless, the United States is beginning to get a little age on it. Congress is a bit more mature in the process, and there is a large body of public law that has been passed. Many of the members of our policy-making arm of Government are wondering if law is not passed by listening to cases being overstated on either side of issues, without any concern for whether previous laws handle the situation very nicely, thank you; whether the executive agencies have the capacity to carry new laws out, given staff and funding levels; or whether the good intentions in law have anything to do with the delivery of services to the public at the local level. For that matter, there are questions being raised as to whether Congress is adequately staffed to know what happens after legislation is adopted, or whether it is equipped to determine in advance what the actual effects of new legislation might be.

A sensitivity to all of this led Congress to adopt the Legislative Reorganization Act of 1970 -- which in itself was quite a compromise, and according to some elements of the press, not much of a reorganization at all.

Section 204 of the Act directs the General Accounting Office, either on its own initiative or at the request of committees of the Congress, to make studies of the costs and benefits of existing programs.

Clearly the intent of this is to see if we have any old laws hanging around that aren't much good, or are costing the taxpayers more than they should for the benefit received, and the process should also be used for a quick informational turnaround on whether the executive agencies were carrying out the intention of Congress.

Now this is clearly heady stuff. Implied here are qualifiable and quantifiable measures of program effectiveness and maybe even a systems approach to policy formation. That could mean computers, information specialists and tons of paper spewing out the "who-shot-John" of governmental and maybe even congressional effectiveness. Obviously there are implied dangers too from "business as usual" bureaucrats who might not particularly care about what the wishes of Congress might be, new laws or not.

(The GAO authority was significantly strengthened last year by enactment of the Congressional Budget Impoundment Control Act.)

It would only be fair to say that the GAO and congressional response to the Congressional Reorganization Act was timid. Neither side wanted to move too fast for fear that a gigantic structure be created in

Government that might amount in the end to a scandal-ridden boondoggle that delivered too much information to be usable by anyone, while costing millions of dollars.

Dr. Ida R. Hoos points out in Datamation: "Gargantuan systems that, with the ingestive propensities of snakes, have subverted and swallowed up the very organizations they were purported to serve are the outcome of a chain of apparently innocuous circumstances. Electronic data processing introduced in the mid-1950's to hasten the paper flow, reduce clerical costs, and increase efficiency in information handling was the first step. The logic was clear, economic justification unassailable, and the role for an information technologist insured.

"But two decades and two computer generations later the promises are still illusory. To be sure, records move faster, but their volume has increased exponentially. In a Parkinsonian fashion, they have expanded to fill all computer time. Clerical costs soar; the price of processing paper is rising astronomically but invisibly, as any accountant charged with allocating company expenses can attest."53/

Whoa! Wait a minute. Maybe buttonholing is a better way to make policy than by creating "management information systems." As Senator Henry Bellmon of Oklahoma is fond of saying, "If you like either sausage or law, don't ever watch either of them being made." But the Government already costs more than $300 billion a year, and no one knows where the money will come from for such fixed governmental costs as civil service

53/ Hoos, Ida R. Can Systems Analysis Solve Social Problems? Datamation, June 1974:83.

and military pensions in ten or fifteen years. Maybe the Congress ought not enter into something that could be a very large ticket item without some assurances of extensive payoffs.

On the other hand, Congress is timid about getting into something that was already installed by former Secretary of Defense Robert McNamara as a major artery in the operation of our military establishment.

Even though McNamara's systems proved on many occasions to be fatally fraught with the garbage-in, gospel-out syndrome, Congressional demands to "prove" why the defense budget should be so high required systematic goal setting and evaluation. It's now a big business at the Pentagon. It is growing in the other executive agencies, even though one official in the office of Secretary of Defense concluded to me that while program evaluation was sophisticated and useful, it often tended to take the course of least resistance, supporting previously foregone conclusions.

I don't know, but I suspect that the General Accounting Office got its early strength from the Al Capone case. You'll recall that even Elliot Ness couldn't get Al into Alcatraz for mutilating the bodies and lives of his enemies. It was the accountants over at the Internal Revenue Service who nailed him. This led, I believe, to the generally still-held conclusion that today's big-time crooks are too smart to be caught with guns. It takes accountants. Isn't that why the FBI's list of ten most wanted generally includes only psychopaths and poverty-stricken nobodies?

No one has ever been able to explain to me whether GAO is an arm of Congress, or whether it's some separate, super-snoop investigating agency, held in check only by its conservative and thoughtful Comptroller General, Mr. Staats. While it serves Congress faithfully with its carefully worded, eternally reviewed reports, more than 70 percent of its work is inspired from within the agency. Most often in the past, the GAO approach to an investigation was the auditor's approach. That is, are those bureaucrats out there doing their job in the most cost-effective manner, and is this program really necessary?

That's fine, except Congress is often not interested in whether a program is cost-effective in the most literal sense, or whether a program is needed. Government, after all is to do those things for a nation's citizens which they want done but which they cannot do for themselves. And when the GAO questions the efficacy of a program, the organization is questioning the wisdom of Congress in setting up something in the first place.

It's a sensitive business as GAO recognized in its first attempts to make the evaluation process more consistent with the Defense Department approach. Take for example this language from a "Discussion Paper on Principles and Standards for Analysis and Evaluation" drafted by GAO staff:

> Principles and standards for professional practice have existed for many years where it has been important to protect both public and client interests by the use of generally accepted measures of competence. Examples are the practice of public accounting where the financial interests of investors are at stake; and the practice of engineering where the safety of the public is at stake. More recently, there is a general recognition that major decisions regarding the uses and

> amounts of funds allocated may have very important implications for the general public as well as the direct recipients of the programs. Since these decisions have been increasingly influenced by program evaluation and program analysis, it follows that there is a need for generally accepted principles and standards to govern this work.
>
> In the absence of such principles and standards, a number of problems are created. For example, the Urban Institute reported that: 'Two Job Corps evaluations, one using 'no shows' as a comparison group, and the other using later Job Corps enrolles as a comparison group, reached widely different conclusions on the value of the Job Corps; the first study estimated benefit-cost ratios of 4.5 to 5.0. This led one observer to note: 'This is a disturbing situation where evaluation relating to the same reality may vary from submarginal to excellent, depending on the assumptions and attitudes of the analyst.'

The discussion paper then goes on to suggest an outline of the subjects to be covered in an orderly set of principles and standards. The major outline headings are: Purpose of Analysis and Evaluation; Evaluation Methodology; Reporting Results; and Administration of Analysis and Evaluation. The paper makes the point that "studies are difficult to use for congressional decisions unless there is some generally accepted criteria for judging their worth and unless reports contain enough information to allow such judgments tc be made."

Dr. Hoos is much more blunt. She claims that the use of systems analysis to solve social problems is an "opportunity for enormous boondoggling . . . by the very ascription of rationality, there are built-in assumptions about whose conception of rationality is reflected. Rationality is not a dye vat into which all may be dipped and come out the same color. Rationality is neither absolute nor constant, but depends on the frame of reference. Rationality knows many times, places and forms. What could be economically rational could be irrational socially;

what could be socially rational could be political dynamite; what could be politically rational could be totally irrational from an engineering point of view."

To cite examples of what can happen, Dr. Hoose points to Federal grants, to information experts, to design systems which diverted people from the task of delivering health services in some more efficient or effective way. "In many instances," she says, "it costs more to process information about a patient than to cure him. And more specialists live off the systems set up to conquer certain diseases than die from those diseases."

Well, at least there's not much doubt about where Dr. Hoos stands. She thinks we are wasting a lot of time designing systems, models, and games when we ought to be using our limited resources to solve problems with more obvious solutions. Her point about whose rationale is so relevant to the politicians that they have bad dreams about these things at night, I suspect.

We all know what a pilot project is; it's a Government activity without enough money in it to accomplish very much. But ideally a pilot project is an attempt at something new. If, after evaluation the project pays off, then Government or the private sector at some level presumably expands the idea to whatever is the appropriate universe. An example of this kind of approach is the notion by the Department of Housing and Urban Development to give poor people money so that they can purchase their own housing, without the Government having to go through the business of providing the more familiar types of housing subsidies. HUD

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hired a number of contractors to do elaborate forms of evaluation on how this might work out.

However, in May, Dr. David J. Fitch,54/ while conceding that Congress needs better information on the expected effects of such pilot programs, added two more problems to the list which "make it difficult to carry out and evaluate experimental programs . . . :

> 1. The agencies which have responsibility believe that Congress will object to the random allocation of program benefits needed if effects of the programs are to be determined.
>
> 2. Those within an agency who have responsibility for research design may be limited by their own competence and are almost certainly limited by those above them who feel a need to 'play it safe,' and therefore will not support good evaluation research design because of anticipated public relations problems.
>
> My thought is that programs with regard to these difficulties could be made through the establishment of a grant operation under the Senate Government Operations Committee in which proposals for evaluation research from the agencies would be considered by a staff and advisory group, and funds awarded to support good research -- the philosophy being that the more Congress demonstrates it wants good evaluation, the better the evaluations will be.

Ah, but Mr. Fitch, you haven't answered Dr. Hoos' problem about "whose rationale."

The GAO auditor wants to be isolated so that he can draw his own "objective" conclusions -- in other words, his rationale. Similarly, the National Science Foundation's RANN support of evaluations for a series of public concern will be apart from Government. Dr. Selma J. Mushkin of the Public Research Laboratory at Georgetown University

54/ Research Psychologist Health Resources Administration, U.S. Public Health Service.

suggests, "and in the strength of its isolation from Government, it may also find it is removed from the realities of governments, or even in its isolation, produce an environment hostile to change."

Dr. Mushkin shows some respect for the evaluation process at the Department of Defense, without endorsing it entirely:

"It is a model that yields much dialogue, testing, research, reassessment and multiple reviews prior to application. Yet it is of Government, produced both in house and out without the fanfare that has accompanied some civilian sector reports Surprisingly, there appears to be more scientific prodding and questioning in the military system than is currently built into the civilian sector evaluations."

Dr. Mushkin points out that in the military, the evaluation processes built in at all levels in operations and budget from the Secretary of Defense to the military base, whereas multi-level evaluation in the civilian agencies is rare.

She says, "evaluation and analysis are now so imbedded into the practices of the military administrative structure that I think it would be difficult to sort out the analytical resources applied. In the civilian sector, each evaluation is a precious thing, or nearly so."

Dr. Mushkin admits having no regular contact with the military evaluative process. But it would only be fair to add to her praise that there are also dangers in the "everybody gets to stir and season the soup theory." Under McNamara particularly, weapons systems tended to become more cumbersome and complicated than necessary because each command had something it wanted added. That's how you get individual and vulnerable war machines that cost millions of dollars per copy.

But the importance of taking more than today's specific problems into account is made evident in a paper Dr. Mushkin gave in 1973 before the American Statistical Association. She pointed out that attempts toward policy analysis in the health field cannot be limited to health programs.

She says, "Benefit assessments underscore the commonality of program purpsoes. Many public programs involve pricing human life, programs that are not directly associated with health care and that do not bear the label of health programs. The most familiar example is the highway construction program, where lifesaving costs or death and disability costs must be equated in deciding whether or not to construct a cloverleaf or add another highway lane."

It gets complicated, and Congress knows how complicated it can be as evidenced by the remarks by Congresswoman Martha Griffiths at a hearing on "Problems in Administration of Public Welfare Programs" in June of 1972:

> These programs affect over 60 million persons and cost $100 billion a year, and yet for years we have examined these programs one by one. But both the Congress and the executive branch are becoming increasingly aware of the fact that we can no longer afford to legislate and administer the programs in a piecemeal fashion when so many of the programs affect the same persons The purpose of these hearings to learn more about the rules and regulations under which programs are administered at the local and state levels, and the actual administrative procedures that are followed.

Following the Congresswoman's opening statement, the first witness was a casework aid, who said immediately, "I think the most important thing that I mentioned in the written statement, as far as dealing with our clients and the rules and regulations, is the fact that the grants are so low in relationship to the need that our clients have."

Don't groan. That's a legitimate statement. As a matter of fact, I don't believe Congress would give program evaluation as a device for policy formation a second thought if there was enough money to go around. But the members watch the Federal budget closely, and each year, the fixed costs eat up more and more spendable dollars, while inflation and interest on the debt chisel away at the other end of things.

Many members of Congress are beginning to get the impression that many of the frustrations of the people with the Federal establishment stem from the fact that programs often do not operate as advertised and even if they do, there are too few dollars in each pot to solve the original problem for all of the prospective users. A glaring example is the food stamp program which in just a few years has soared to be a $5 billion program while at the same time advocates of the program complain only about 50 percent of the potential users are being served.

As a result of situations like these, Congress wants the maximum program bang for the buck, and while it wants to know which programs work and which ones don't, the members clearly aren't too happy when the categorical cripples are exposed in the daily press before there is time to make necessary orthopedic repairs.

The Budget Control and Impoundment Act adopted this year will force many changes, the most basic being that under ideal operation, the Defense Department will have to line up its priorities alongside those of the Departments of Health, Education and Welfare, and Agriculture so that Congress can decide which things are most important from a national standpoint to pour the dollars into. It is not too difficult to foresee one of two things happening:

Either the executive agencies will begin to do their own program evaluation to provide their authorizing committees with the ammunition to defend their operations before the budget committees, or all decisions will be made at the White House and cabinet officers will be relegated to housekeeping chores like second lieutenants at the Pentagon. If the latter selection is chosen by an Administration, there will undoubtedly be many head-to-head confrontations between Congress and the White House. The winners in cases like this will be those programs with the strongest lobbies backing them up, or the annual glamour programs which the press enhances until it gets bored with them -- you know what I mean: last year the environmental crisis, and this year the energy crisis.

There may not be much room for appropriations by merit if this course is taken, and if recent history is a measure to judge by, programs for rural people will probably suffer at the hands of an urban dominated House anxious to take care of its majority.

Nevertheless -- the new budget control act aside, Congress wants to know which programs work and which programs are not providing good public service given the dollars spent, and even though my instincts tell me to agree with Dr. Hoos when she says, "Systematic and analytic review of the systems techniques would reveal that they are not appropriate to the myriad of social tasks to which they are being applied," I continue to be left with the frustration that I do not really know what is going on out "on the ground," as the foresters say, and therefore I often find it difficult to provide the Senators I serve with the reliable information they deserve. I know further that one of the reasons

I don't know what is happening is because of intentional obfuscation by Federal agencies in many cases. Like the Job Corps survey mentioned earlier, they can make the numbers say anything they want -- or anything that they think Congress wants to hear.

When GAO came to see the staff of the Committee on Agriculture and Forestry following enactment of the Congressional reorganization bill, there was polite exchange of detailed letters between the Chairman, Senator Talmadge, and the Comptroller General. These sallies were followed by a round of meetings while the GAO tried to find out whether we wanted to dump ten computer years of work on them, and we tried to learn whether it would take a year to get a turnaround answer on a problem from GAO, as we felt was usually the case.

These conversations went on for hours, gradually becoming more and more refined as the GAO staff began to understand our point of view on agriculture, rural development and forestry. It was only then that we could get down to the business of problem solving.

So you see, in this case it was our rationale.

Since these early meetings, the GAO has performed a number of worthwhile services for the Committee -- most of them rather homely tasks that have not required management information systems or computers. The GAO systems people worked with us in a somewhat more informal basis than had been their usual procedure, providing on-the-spot advice that was of more value than the written GAO report which goes through a final review process that takes two months or more.

As an aside here, it should be noted that the seven or more review steps plus executive agency review of a report is a scholarly way, and auditor's way of going about a study. Often, things move too quickly on Capitol Hill for that kind of work to be of much value. For instance, with the right kinds of pressures behind it, the committee can receive a bill, hold hearings, and have it reported to the floor in two weeks. But obviously there are long-term studies which are worth doing. The committee has a huge job underway right now. It involves a comprehensive review of the personnel of the Farmers Home Administration to measure the competence, number, and job attitudes of the personnel matched up against the programs which Congress has given the agency to accomplish.

This study is interesting because Senator Dick Clark, who asked for the study, declined to call it an investigation. Further, Clark has enlisted and received the cooperation of the Administrator of Farmers Home Administration in assisting GAO with the work. Thus far, GAO and Farmers Home have been working at the job in an admirable manner.

It is our hope that the completed study will draw rather broad sets of conclusions upon which the committee can base future decisions concerning the future of the agency, and those decisions can be made in such a way that in negotiating any changes in law or administrative regulations with the Farmers Home Administration, both the committee and FmHA will be working from the same sets of numbers and assumptions.

Hopefully the results of this study will provide a vital tool to aid in policy formation.

Also with the help of the GAO, the committee, under the leadership of Senator Humphrey, has had enacted a forest and rangeland management bill which is designed to provide us with a new systematic approach to decision-making on the National Forest System. We believe that this bill could serve as a model for future legislation in other fields.

For the past several years, the air of Washington has been polluted with a mean little debate over the management of the National Forests. The Forest Service, surrounded by assaults from conservation organizations and the timber industry was under a constant legal and verbal cloud. The agency was losing the confidence of the Office of Management and Budget to cope with its problems, and there is even evidence that there was a dispute within OMB on how the National Forests should be managed. Because of inadequate appropriations, millions of acres of the forests needed reforestation or stand improvement. Because of drastic personnel cuts by the Administration -- even in the face of orders to cut more trees -- the Forest Service was incapable of managing any of its other responsibilities as well as it knows how.

The problem as Senator Humphrey saw it, was to cut the trees the Nation had to have (lumber prices were skyrocketing) and still provide for wilderness, other forms of public recreation, protect watersheds, wildlife and generally maintain a sound environmental balance in the forests.

Once again, skull sessions got the job done. The staff of the Committee sat down with representatives of a number of conservation

organizations. At the same time, and the same table, we had representatives of the industry and occasionally personnel from the Forest Service.

The result of those meetings was not a new policy for the National Forest System but a device by which policy can be set.

Briefly, the bill provides that periodic assessments be made of all of the renewable resources in and on the National Forest System. Using this assessment, the President is to develop a Program of Work for ten-year increments that is amendable by Congress. After the program is adopted, the President is required each year to request such sums as are necessary to meet the goals of the program, or if he does not ask for the money, he must explain why.

Finally -- and this is where GAO helped us out -- the bill provides for program evaluation which will aid the Congress in determining whether the Forest Service is getting the job done. The evaluation language reads like this:

> For the purpose of providing information that will aid Congress in its oversight responsibilities and approve the accountability of agency expenditures and activities, the Secretary (of Agriculture) shall prepare an annual report which evaluates the compenent elements of the program required to be prepared . . . which shall be furnished to Congress at the time of submission of the annual fiscal budget, commencing with the third fiscal year after the enactment of this Act.
>
> These annual evaluation reports shall set forth progress in implementing the program required to be prepared by Section 3 of this Act together with accomplishments of this program as they relate to the objectives of the assessment. Objectives should be set forth in qualitative and quantitative terms, and accomplishments should be reported accordingly. The report shall contain appropriate measurements of pertinent costs and benefits. The evaluation shall assess the balance between economic factors and environmental quality factors. Program benefits shall include, but

not be limited to, environmental quality factors, such as esthetics, public access, wilflife habitat, recreational and wilderness use, and economic factors such as the excess of cost savings over the value of foregone benefits and the rate of return on renewable resources.

The reports shall indicate plans for implementing corrective action and recommendations for new legislation, where warranted.

The reports shall be structured for Congress in concise summary form with necessary detailed date in appendices.

I don't know what that language does for my reader, but for me it sings.

Similar evaluative efforts by GAO have assisted the committee in its extremely detailed oversight hearings in the field of rural development, an area in which the Nixon administration did not choose to be responsive. An unfortunate result of this was that our detailed, systematic questioning before, during, and after oversight hearings kept the small staff of the Rural Development Service in USDA totally tied up for weeks, with no time to do any rural development, even if it had been permitted to do so by the administration.

However, it would be well to add that Congress now has the Administration's attention in this subject area, despite the Executive's desire for the whole business to go away.

As Dr. Arthur Miller, the constitutional scholar at George Washington University points out, ours is a Government that provides for a strong Executive. As he says, no other major nation puts so much power into the hands of one man. In the past, Congress has added to those powers by receding from its own prerogatives. But I believe those days are

over. Congress has taken a number of steps such as passage of the Budget and Impoundment Act to regain some control over policy and spending. There's a new day coming, but it will not arrive next week, because change in a democracy is necessarily slow and evolutionary (unless the protein of revolution of some kind is combined in the admixture). But the Congress is leery of "experts" who have often led the member down the garden path, and it is comfortable with the voice of home folks, who are not experts.

By and large, the lawyers, economists and generalists who are the staff of Congress are more aware that the term ought to be "systems analyses" or "system analysis" (as opposed to systems analysis) than they are of what management information systems can do to help them serve their masters. Further we are very nervous about using machines to put people problems into neat cubbyholes. But one thing is certain -- Congress and its staff have one basic complaint:

> Somehow we've got to find out what's happening in those damn agencies so we can make some decent decisions around here for a change.

That basic frustration will lead Congress to do something, but again, since there are 535 individuals on board, God only knows what that something will be, and it may be 535 somethings which may or may not be subject to systematic evaluation.

DISCUSSION

During the course of his research evaluating programs of the Department of Agriculture, Mr. Giltmier discovered that the agency refuses to release some evaluation reports to the Congress. In this same respect because of a lack of cooperation from the Department of Agriculture, it took the General Accounting Office eight months to compile a list for the committee of evaluation reports done by or for the Department of Agriculture.

Mr. Giltmier noted also that sometimes the General Accounting Office's assistance is inadequate for the committee's legislative oversight needs. One clear cause for this inadequacy is the "long turn-around time" for much GAO work. The Office employs a seven-step review process. As a result a year may elapse between the committee's request for a project, its completion, the seven- step review and delivery. The committee may find these time-delayed reports inadequate because members are no longer interested in the issue. It would be helpful if the GAO could provide evaluation information in a shorter time.

Recently the General Accounting Office instituted two reporting procedures which circumvent the need for long reviews, thereby providing the Congress with information on a more timely basis. These consist of (1) presenting requesting committees with oral briefings, or (2) transmitting informally reviewed draft reports, which committees sometimes use as final reports.

Mr. Giltmier noted another potential problem: that the objectives of many GAO studies do not coincide with legislative infor-

mation and oversight needs. It was noted that seventy percent of GAO studies are self-initiated. However, it was also remarked that many of the GAO studies are done to fulfill statutory requirements made by the Congress.

The point was also made that sometimes legislative actions themselves hamper effective evaluation. Several factors contribute to this dilemma. First, many different laws are enacted relating to similar types of programs and program delivery. Sometimes these overlap or are duplicative and sometimes they are contradictory. This happens especially in the agricultural area. The suggestion was made that before drafting new legislation, staff should spend more time determining if there already are laws relating to the issue, or if existing statutes merely require modification.

The second problem, mentioned repeatedly throughout the seminar, is the fact that legislative statements of program goals or objectives are imprecise or vague. This makes it difficult for evaluation researchers, including those in the GAO, to develop yardsticks of program goals against which to measure actual accomplishments. It is difficult to reconcile this problem because of the need for political compromise in writing and passing legislation.

DAY III: EXECUTIVE BRANCH EVALUATIONS AND THE PROCESSES OF EVALUATION: SUMMARY OF PROCCEDINGS

A. Activities Underway in the Office of Management and Budget to Improve Evaluation Activities

Clifford W. Graves was the lead-off speaker for the third day of the seminar, May 19. He began his presentation by tracing the evolution of the Bureau of the Budget's and the Office of Management and Budget's concepts of evaluation. At first the Bureau of the Budget viewed evaluation exclusively in terms of efficiency. Subsequent attempts by the BOB and the OMB to view evaluation in terms of program performance and accomplishments, using the tools of the Planning, Programing, Budgeting System and Management by Objectives, did little to meet decision-making needs. However, these efforts left an important legacy for the present, since they influence the mode of thinking of staff of OMB, GAO, and Federal agencies, and they provide a pool of people experienced in thinking in terms of program performance and output measurements.

The OMB has conducted several assessments of the quality and use of Federally funded evaluation studies. The assessments, according to Mr. Graves, indicate that most of these evaluation efforts were not timely enough, inaccurate, and useless or irrelevant for decisionmaking needs. The OMB is now pursuing a vigorous effort to improve the conduct and use of Federally funded evaluations. The OMB Office emphasizes that evaluation should not be an academic exercise, but rather should be an integral, on-going part of Federal agency operations, effectively integrated into management, program planning, and preparation of budget justifications.

The OMB provides technical assistance and policy directives on evaluation to Federal agencies. In the process, however, the agency stresses that Federal agencies themselves, and not the OMB or the Congress, should be the focal point for improving the conduct and use of evaluations.

OMB efforts to strengthen agency evaluation capabilities consist of encouraging agencies to use a "decision-driven" model for evaluation. This requires agencies to gauge where evaluation will be used in decision-making before funding evaluation research. At the same time the OMB is encouraging the Congress to include appropriate program evaluation requirements into legislation authorizing new programs.

During 1974 the OMB prepared an inventory of Federal agency evaluation research activities and offices. It is conducting a joint project this year with the General Accounting Office to update this study and to gather more information about the funding of evaluation research. The OMB recently published a guide for managing evaluations in Federal agencies and has plans for the following publications: an assesment of the use of agency evaluations, an assessment of evaluation training needs, and a technical manual to assist agencies in structuring evaluation management systems.

B. Activities Underway in the General Accounting Office to Improve Evaluation and Evaluation Research

The Congressional Budget and Impoundment Control Act of 1974, P.L. 93-344, gave the General Accounting Office several responsibilities to assist the Congress in improving program evaluation. Among these are the responsibility for providing assistance to requesting committees on evaluation methodology, helping committees to develop guidelines for legislative

language for evaluation, developing a capability for synthesizing evaluation reports, and cooperating with the Office of Management and Budget and relevant committees in developing program-related information systems.

Keith Marvin of the General Accounting Office provided details about activities the agency is taking to implement these responsibilities. They include:

- development for each agency of an inventory of evaluations completed, in process, or planned, including a short description of the agency's total evaluation plan;

- development of an inventory for each agency, giving the title of an evaluation report, the title of the program evaluated, the date the legislation was authorized, and the date of the evaluation report;

- preparation of abstracts of each evaluation report, identifying the source or performer; and

- development of criteria and standards for congressional committees doing evaluations, to assist them in making tradeoffs between different types of evaluation strategies in relation to specific evaluation related decisionmaking needs.

C. The Preparation of a Draft Manual on Evaluation for Legislative Users

Harrison Fox is Research Director of the staff of Senator Bill Brock. William Foskett has served as a part-time consultant to the Senator. These two staff members have made important contributions to improving legislative staff capabilities for evaluation. For instance, under Senator Brock's authorization, Dr. Fox has held a monthly seminar for staff, bringing together legislative users of evaluation, executive branch

program managers and users of evaluation, and evaluation performers to discuss case studies, general methodology, and ways of enhancing the use of evaluation research in decisionmaking. Also, Drs. Fox and Foskett are co-authors of a draft Program Evaluation Manual for Legislators and Legislative Staffs. The manual gives general principles about evaluation in terms relevant to legislative staff who have responsibility for incorporating evaluation requirements into legislation.

Dr. Fox began the joint presentation by describing the importance of evaluation as a tool of oversight. But he also noted that this technique is only one of several essential oversight tools the Congress uses. He gave the following typology:

Type of Oversight Technique	Methods Which Can be Used
Legislative	Hearings and meetings Congressional veto Statutory controls Nonstatutory controls Reporting requirements
Fiscal and Analytical	The appropriations process Control through audit Program evaluation Achieving Priorities
Investigative	Investigations Constituents Problems
Authoritative	Impeachment Confirmation

Dr. Foskett's presentation consisted of a short description of the manual and its uses on the basis of his several years of experience conducting evaluations in education and developmental psychology, he also commented on the conduct of evaluation.

Like Dr. Townsend, Dr. Foskett noted that legislative staff must work very carefully in developing legislative language for evaluation. Staff do not necessarily have to be concerned with the specifics of an evaluation research design, but it is essential that they be familiar with:

- the need to formulate correct legislative statements of program goals, capable of serving as yardsticks or achievements against which programs can be evaluated;

- general methods of experimental, quasi-experimental, and non-experimental evaluation research designs, including their funding and time requirements, and the differences among types of evaluation in relation to legislative needs, in order to formulate legislative requirements for the right type of evaluation design in relation to the questions which need to be answered; and

- the need for close communication between user and doer of evaluation to encourage the generation of information most relevant to decision-making needs.

Legislative users must also be aware of the political constraints on evaluation, that is,be able to identify evaluation priorities in relation to political expediency, and to know when and why agencies might choose not to evaluate, or not to use the evaluation information which has been generated.

As another important point, legislative users who have a responsibility for writing legislative language for programs requiring evaluation should be aware that some types of quasi-experimental and experimental impact evaluations necessitate expensive longitudinal data collection procedures.

Legislative users also must make tradeoffs on another issue, that is, can existing evaluations of these programs or syntheses of evaluations of the same or related programs serve the evaluation-related decision-making needs of the Congress.

Utilizing a framework developed for the manual, Dr. Foskett then outlined the types of evaluation techniques and tools which could help generate information for twenty different types of legislative oversight questions:

TABLE 1.

EVALUATION STRATEGIES AND TECHNIQUES WHICH MAY HELP TO ANSWER OVERSIGHT QUESTIONS RAISED IN LEGISLATIVE ACTIVITIES.

OVERSIGHT QUESTIONS *which can be answered in whole or part by "Evaluative Strategies and Techniques" cited beside each in the next column.*	EVALUATION STRATEGIES AND TECHNIQUES *which can be adapted to provide answers to "Oversight Questions" shown in column at left.*
1. What's the problem? What's the context of the problem?	1. needs assessment; opinion surveys; Delphi technique.
2. What kinds of things could be done to remedy the problem?	2. policy analysis; evaluative synthesis; information retrieval .
3. What evidence is there to indicate that each of these remedies could could work?	3. information retrieval; pilot testing; evaluation synthesis.
4. What does it take to make these remedies work? How much will it cost to get the kind of effect to remedy the problem?	4. needs assessment; pilot testing; cost-effect/benefit analysis; computer simulation modelling
5. What should the Federal role be? *To develop remedies?* To supply remedies (services) directly? *To fund state or local governments* to develop or supply remedies? *To provide incentives for the private sector* to develop or supply remedies?	5. policy analysis; *POLITICAL JUDGEMENT*
6. Which combination of *remedy and* Federal role best suits the goals and intentions of a Bill or Act?	6. pilot testing; planned variation; policy analysis; *POLITICAL JUDGEMENT*
7. Do the goals and intentions of a Bill or Act match up with the nature of the problem, the remedies and the Federal role envisioned by the Bill or Act?	7. policy analysis; *POLITICAL JUDGEMENT*
8. Does the Bill/Act say what Congress intends *clearly* enough (in legislative language) and *conspicuously* enough (in legislative history) to set criteria against which you can compare Congressional intent with an Agency's plans, program implementation and budgets?	8. *POLITICAL JUDGEMENT* in consultation with independent evaluation specialists
9. Are Agency goals and plans clear enough for you to tell if they are consistent with Congressional goals and intents?	9. pre-assessment of evaluability; certification of readiness for evaluation
10. Are Agency program plans and objectives clear enough to evaluate for *Executive-Branch* policy review and program management? What Agency resources and personnel are devoted to program evaluation specifically?	10. pre-assessment of evaluability; policy analysis; *POLITICAL JUDGEMENT*
11. Are program services being delivered in the type, amount, quality and time-frame that Congress intended?	11. process evaluation; responsive evaluation; p.p.b.e.(or other systems analysis approaches); program auditing; time and motion studies; blue-ribbon panels.
12. Within a program what *kinds* of projects are *succeeding?* How many? What *kinds* of projects are *not succeeding?* How many? How are the succeeding projects *different* from the others--i.e., what works?	12. success search; modus operandi evaluation; institutional self-study
13. Would the results reported for a program have happened even without the program?	13. "experimental" program/evaluation design; modus operandi evaluation
14. Is the program effective in meeting the goals or needs set forth in the legislation which gave birth to it.?	16. effectiveness evaluation; adversary evaluation; competing data analyses
15. Is the program effective enough to solve the problem that the legislation originally addressed?	15. impact evaluation; needs assessment; public opinion survey
16. What *side-effects* does a program have? How big are they? How valuable are they?	16. side-effects survey; "goal-free" evaluation; blue-ribbon panels
17. What can a program mean in personal, human terms? The bad? The good?	17. human resources accounting; case-studies, one person at-a-time studies
18. Has the problem changed that was originally addressed by the Act? In what ways? To what extent?	18. needs assessment; policy analysis
19. Is there now a better way of getting at this problem?	19. policy analysis; information retrieval; pilot testing; evaluation synthesis
20. Should we continue the program? As it is? With major changes? Put at all? Fold it into another program?	20. *POLITICAL JUDGEMENT*; needs assessment; opinion surveys; blue-ribbon panels

D. Issues Relating to the Methodology of Evaluation

From his vantage point as a social scientist and the president of a large consulting firm which does a considerable number of evaluations for the government, Clark Abt presented a comprehensive statement on the state of the art of the methodology of evaluation and on issues surrounding the use of evaluation.

Although he devoted a considerable portion of his paper to the methodological limitations of evaluation, Dr. Abt noted that some kinds of evaluations are more methodologically sound than others. For instance, it is easier to do cost-effectiveness evaluation than cost-benefit evaluation. In cost-effectiveness evaluation "some criterion of effectiveness is set, such as advance in reading scores in an educational program, and the amount of advance per unit of cost is the cost-effectiveness..... It's basically a measure of the desired program output over cost input."

"Benefit-cost is harder to compute because here we are computing benefits and costs in commensurate, usually dollar terms. We're trying to estimate what amounts to computation of return on investment, so that we can compare different programs. It is hard to compare years of reading achievement per dollar, with percentage reduction in cancer fatalities per dollar --- two completely different programs in education and health. If you have benefit-cost ratios for both, or return on fungible resources invested, you can compare those and when you can compare across programs ideally, you can optimize the whole protfolio of government investments by what the economists call marginal utilities."

However, the major obstacle to effective evaluation, according to Dr. Abt, is the fact that it is not used by decisionmakers. Several factors account for this situation. One is that some decisionmakers expect more of evaluation than it can deliver. For example, he noted: "What we cannot do with program evaluation is create new programs, make decisions, make the assumption of rationality come true, and get users or consumers of program evaluations to ask the right questions. We also cannot make value judgments that have any credibility where these are decisive program decisions."

He also noted that communications gaps besiege both doers and users. Legislation does not always specify properly the objectives and potential decisionmaking needs of the evaluation study. This situation could be improved if evaluation were conceived of as a "decision-driven" technique to be used in specific legislative oversight functions, such as budgeting, program formulation, or management. Related to this point is the abrogation of responsibility by the doers of evaluation, who are not sensitive to the political needs or connotation of evaluation information and make little effort to aid decisionmakers in assessing the policy implications of evaluation.

Abt also stated that the users of evaluation are not always aware of the possibilities and limitations of evaluation research. As a result users frequently do not ask the right questions of evaluation or do not receive adequate payoff for the dollars invested in evaluation research. Abt noted, for instance, that never once in his twenty year career as an evaluation researcher had legislative users of evaluation consulted with him regarding the objectives, methodology, or possible use of an evaluation study.

Dr. Abt emphasized that while the technology of evaluation research had improved considerably in recent years there have been very few theoretical breakthroughs in evaluation research methodology or concepts. Both evaluators and decisionmakers have a responsibility to improve this situation. They can do this by:

- requiring evaluations only of the most important priority programs, not of every program legislated;

- doing cross-cutting evaluations, which look at the objectives, effectiveness and impacts of programs with similar goals, authorized by different statutes, and administered by different Federal or state agencies;

- requiring Federal evaluation managers to write better RFPs and modifying procurement regulations so that technically non-competitive firms do not waste inordinate amounts of time and money writing proposals, and

- sensitizing decisionmakers to make decisions (and to accept the consequences) about when "quickie" evaluations are required and when longer, experimental evaluations with randomized test and control groups are needed.

Among the other weaknesses Dr. Abt identified were:

- inadequate Federal support for training evaluators in the use of statistical methods of analysis;

- insensitivity to the selection of indicators of effectiveness and absence of well-formulated relationships between measures of effectiveness and possible policy options;

- inadequate review by evaluators of the literature which already exists on evaluation; and

- insufficient awareness by both evaluators and decisionmakers about the possible effects of an evaluation or an experiment on the participants of the program.

E. Evaluation in the Office of Education

Dr. John Evans, Assistant Commissioner of Education in the Office of Education, described issues relating generally to Federal procurement and use of evaluation, using the Office of Education as an illustration.

He began by describing several problems common to most Federal agency evaluations. He noted, for instance, that some evaluation management systems are very disorganized; many RFPs are poorly written, and

frequently the academics who do evaluation research for the Government orient it more to support their basic research or training needs than to serve governmental information and analysis needs. He noted that the most effective evaluations are sponsored by agencies which have special program evaluation offices, with a technically competent staff, linked closely to the agency's decisionmaking center.

There is a special program evaluation office in the Office of Education. It has responsibility for evaluation, planning, and budgeting. The Education office has a staff of 20 people and a budget of $13 million to evaluate Federal education programs costing $7 billion.

The following procedures are used to do evaluations in the Office of Education. The evaluation staff develops a list of priority evaluations which can be funded from the basic evaluation research budget. Agency staff familiar with evaluation research and social research methods draw up a technically sophisticated evaluation design before issuing RFPs to avert the problem of proposal preparation and submission by technically unqualified performers. After proposals are submitted, an intra-agency technical committee reviews proposals, selects the contractor, and closely monitors the research to ensure that it meets the agency's needs. Monitors pay especially close attention to the methodology used in the evaluation study, since frequently evaluations can be discredited for faulty methodology.

After the evaluation study is completed, the agency project monitor prepares a memo summarizing the evaluation report and identifying any policy implications which might have been generated. The memo is sent, via the Commissioner of Education, to the Office of Management and Budget.

F. Concluding Comments on "Evaluation Evaluation"

Allen Schick's presentation on "evaluating evaluation" was a succinct commentary on some of the most important themes which had been raised in previous sessions. He noted that although Federal program evaluation budgets have continued to increase, program evaluation suffers from deficiencies of conceptualization, methodology, and use in policy-making.

Dr. Schick said that agencies and the Congress are confronted with numerous problems in doing and using evaluations. First, it may be advisable for agencies to separate evaluation from budgeting, since agencies usually try to maximize their budgets and retain programs. Second, because of its critical adversary nature, evaluation might be performed best in a separate inspector general office. Third, agencies tend to avoid objective evaluation because they are the captive of their programs and would like to believe that programs are, indeed, benefitting their clients. Fourth, evaluation is very difficult to do. Data collected in the normal course of managing a program are insufficient. It is exceedingly difficult to collect and interpret hard-to-measure information on program impacts. Fifth, administrators as well as members of Congress may sometimes shy away from using the results of evaluations since evaluation often indicates that programs are ineffective. This problem is compounded since most evaluations are done on innovative social programs, not on long-established programs which may profit more from good evaluation. Sixth, at times evaluation of new programs takes precedence over evaluation of past enactments. This is all the more significant because committees can become more "program advocates" than program overseers. Therefore congressional oversight may suffer.

Dr. Schick remarked that the Congress is now gearing up to perform a better oversight role. However, he contended that the Congress should not as a rule get directly into the business of conducting evaluations. Congress should be concerned with legislative oversight; this is not analogous to program oversight, which should be the responsibility primarily of executive branch agencies.

The Congress can assist in improving legislative oversight and the use of program evaluation, Dr. Schick said, by taking the following steps:

1. Improve the identification of goals and meaning of program objectives and congressional intent in legislation mandating new programs;

2. insist that evaluations be kept honest and that impacts, not only process issues, be measured;

3. permit more time for the conduct of complex longitudinal evaluations of ongoing programs;

4. insist that evaluations be concise and readable to the layman; and

5. make greater efforts to use evaluation information in the authorization and appropriations process.

"FEDERAL PROGRAM EVALUATION: THE PERSPECTIVE FROM OMB," A PAPER PREPARED FOR THE AMERICAN POLITICAL SCIENCE ASSOCIATION BY CLIFFORD W. GRAVES AND STEFAN A. HALPER, USED AS A BASIS FOR REMARKS PRESENTED BY CLIFFORD W. GRAVES, OFFICE OF MANAGEMENT AND BUDGET

This paper discusses the principal issues relating to governmental evaluation activities and traces the evolution of OMB's response to them since the 1950's. It concludes with a description of our current approach and some challenges to the professional and academic evaluation community.

The main thesis of the paper is that the definition and role of evaluation in which governmental activity is conducted, to label various approaches, successes or failures whithout relating them to their contemporary context is misleading.

A secondary thesis is that there has been no revolution in governmental evaluation; "evolution" is a more appropriate description. Current practices build on the lessons of the past, and future approaches will follow the same pattern.

Finally, the authors are concerned about the ability of the evaluation profession to respond to the current challenge. There is a noticeable divergence between the demands of the governmental decisionmaking process and the techniques and processes of the evaluator.

*First delivered at the Midwest Political Science Association meeting, Chicago, Illinois, May 1, 1975. Remarks delivered were based, in part, on this paper.

The Importance of Program Evaluation

In the current period of budgetary stringencies, government decision-makers are continually faced with perplexing and diffcult options. The dollar purchases fewer goods and services today than in past years, and resources for new programs must be secured at the expense of existing ones. More than ever before, decisions concerning programmatic priorities should be based upon as broad and objective an information base as possible. Program evaluation is a process that enhances objective decisionmaking; it provides a unique input to decisions bearing on effective program management, the relative effectiveness of alternative approaches, and the substantive impact of government activities.

Given the rising demands on government and shrinking resources available to it, the role of evaluation has become critical. Both as a management tool and a measure of impact, evaluation may come closer than any other process to providing the objective information central to decision-making.

Working Definition

Like "planning" and "coordination," "evaluation" is a loosely used term in governmental circles; it lacks any universally accepted definition. Like the other two terms, evaluation is very difficult to oppose in principle, even when one is not sure what it is. For the purpose of OMB's mission (and this is applicable to most of the domestic Federal agencies) program evaluation can be defined as a management process that seeks to systematically analyze Federal programs (or their components) to determine the extent to which they have achieved (or are achieving) their objectives. The essential characteristic which distinguishes evaluation from other forms

of research is intended use: It is decision-oriented.

Issues

Three interrelated issues perennially confront OMB and others concerned with governmental evaluation policy and practices:

-- selection and design of evaluation projects;

-- utilization of evaluation findings;

-- "evaluability" of governmental activities.

They will serve as reference points for the discussion which follows:

Projects Selection and Design. The planning of evaluation programs--the process of determining what to evaluate, when to evaluate it, and how to go about conducting the evaluation--is one of the less-developed areas of public management. Yet, this fundamental first step in the evaluation process can make or break project success. A 1974 OMB survey of current agency practices revealed a wide variety of approaches; we suspect that this variety has changed little from the situation 15 years ago, when the first attempts at more rational planning were undertaken.

Use of Evaluation Findings. No professional likes to see his work gathering dust on a bookshelf. Yet, this fate befalls many evaluation project reports of both high and low technical quality. At OMB, this is disturbing both from a budgetary and program management standpoint.

The number of potential users of evaluation findings is growing. The governmental decisionmaking process is more pluralistic and open than even before, and the demand for objective information has also increased. The issue of who receives evaluation findings and how the findings are used, therefore, looms very large among our concerns.

Evaluability

Wholey and others argue that much if not most of what the Federal Government does is not "evaluable;" i.e., the rigorous analysis called for in our definition is either impossible or yields no new useful information. 55/Whether or not one fully supports that conclusion, the fact remains that many governmental activities have no basis in testable theory, lack measurable objectives, or exist beyond effective management control.

This is not a new phenomenon, indeed, the newer programs initiated by the Congress and the Administration are much better designed than older ones were. However, the issue of how to design and manage a program so that evaluation is possible is far from being resolved.

Evolution of the OMB Approach

In reviewing the executive branch and, more specifically, OMB's interest in program evaluation, two significant trends stand out. The first of these is the changing focus of evaluation, from efficiency in the 1950's; to statistical program output in the 1960's; to a more generalized program performance measure in the 1970's.

At the same time, OMB's approach to evaluation move from one of no systematic interest in the 1950's to an internally focused system during the Planning Program and Budgeting System (PPBS) era, and currently to an external or agency focus in the early 1970's.

55/ Dr. Joseph S. Wholey, Staff member of the Urban Institute, Washington, D.C.

Background (prior to 1965)

During the Eisenhower Administration, BOB was primarily concerned with operational efficiency. This reflected the heavy emphasis within BOB on numbers rather than program substance and policy. To a large extent, there was no such thing as formalized program evaluation. The budget examiners did special analysis, had frequent contact with the agencies, and further, the Federal budget was structured along organizational lines, rather than programmatic lines.

In the early 1960's under the Kennedy Administration, the focus of the budget examiners shifted toward the substance of programs. However, OMB's interest in program evaluation per se remained unstructured. With the Great Society and the creation of large numbers of new programs, OMB's operational structure became overburdened. At the same time, with the growth of a new professionalism in the public administration field, new forms of relating expenditures to effects became known. This trend was largely responsible for the development of the PPBS in 1965.

The PPBS ERA (1965-1970)

The Planning Program and Budgeting System, first operationalized in the Department of Defense, was primarily directed at improving the overall management of Federal Government resources. It attempted to link program funding decisions with program actions and assessments of benefits. The key elements of the PPBS were:

-- a program structure which organized agency activities in terms of objectives or output and costs;

-- program memoranda which contained decisions on current major issues and the rationale for those decisions, including of options;

-- specific analytic studies which analyzed the issues; and

-- program and financial plans which presented in tabular form future cost implications of major program decisions.

Reduced to its essentials, the PPBS was an attempt to provide for a more orderly and reliable decision process by clarifying and making more explicit the reasons for decisions.

Most important, PPBS represented the concept that government carries a responsibility for achieving specific objectives rather than simply trying to make general improvements in a particular area. This change of orientation implies a close examination of program impact as a part of the public management process.

From the perspective of program evaluation, PPBS represented the first significant systematic approach to the development and use of program evaluation as a part of the public decisionmaking process. Program evaluations were directed toward issues which were cross-cutting in nature; the evaluations were designed in the form of specific analytic studies. Program memoranda were then developed which used evaluation information in policy analysis and decision options. The primary users of PPBS evaluation information were OMB and Administration policymakers, rather than agency program managers and the Congress.

The system was not specifically decision-driven except to the extent that evaluative studies were undertaken in priority issue areas. There was no established process for structuring programs in a manner which would necessarily render them evaluable.

Observations About the PPBS ERA

Many people have speculated on the reasons for the demise of PPBS. The precise reasons for its decline are not relevant to us here. However, what is relevant is the attempt to deal with the Federal management process and the integral nature of evaluative activity within that process. Many of the underlying premises of PPBS are taken as givens today; for example, the focus on program and program impacts. PPBS also contributed much to the development of professional skills within government to evaluate and judge program performance. Program evaluation and measurement techniques, even today, are not perfect; but it should be recognized that PPBS was the first Government-wide management system to focus on improving evaluation procedures and integrating evaluation information into the decision process. We are still learning.

The Performance Management System (1970-1972)

As the limitations of PPBS became clear, BOB initiated a study to investigate possible new approaches. The focus was the possible integration of the PPB and the then-existing budgetary system.

The study concluded that integration was possible. A system was devised which measured program effectiveness in terms of impact vs. budgeted resources consumed. It also provided for the timely reporting of important information to decisionmakers. Thus, the basic structure of the Performance Management System was developed. In late 1970, the President authorized OMB to proceed to test the system by implementing it in selected high priority domestic programs.

The PMS concept was based upon the principles of management by objectives and accountability for results. It recognized that the system had to be flexible enough to adapt to the variety of program and organizational characteristics found in the Federal Government. The intent was to develop and implement a system based on a broad concept without prescribed rigid formats for its operation. Essentially, the system concepts were:

-- clearly defined program objectives;

-- a designated manager who could be held responsible and accountable;

-- identification of performance measures with time-phased targets for performance;

-- periodic reporting of performance based on the performance measures and targets; and

-- identification of significant variations in performance to allow for timely corrective action.

The PMS concept placed responsibility on the program manager for selecting and designing evaluation studies. Information was to be integrated by him into decisions taken in reaching his objectives. Both process and impact evaluation were contemplated, although the concept of evaluability did not play a specific part in program design.

The Performance Management System never moved beyond the pilot test phase. With changes in OMB's top management, PMS was reconstituted with a narrower focus in the form of the Management by Objectives process (MBO).

Management by Objectives can be characterized as a limited management system for Presidential and Cabinet-level concerns. The MBO process, as it was actually instituted, attempted to focus attention on a limited number of specific Presidential objectives. Agency heads were encouraged to establish their own MBO systems for internal management.

However, in its original conception, MBO represented what could be characterized as another expression of essentially the same interests and objectives as those which gave rise to PPBS: the public management process used by the Federal Government. While it was less ambitious and less comprehensive than PPBS, it was more pragmatic in that it did not attempt to deal with all of the activities of the Federal Government at once, only those that were of particular interest to the President and other top policy officers.

The MBO process provides for the establishment of objectives and the periodic assessment of performance against those objectives. It did not attempt to relate those objectives specifically to the budget process, nor to any programmatic or organizational structure. It instead focused on the achievement of the objectives by whatever programmatic, organizational other means were available and appropriate in each case.

The periodic assessment of performance of the objectives does not represent, to a limited extent, an evaluation component. However, there was an apparent conscious decision not to attempt to make evaluation of performance an integral part of the OMB role in the MBO process, except to monitor that performance.

For the most part, evaluations have been initiated by agency program managers or OMB Budget Examiners to obtain a closer look at programs which may form a part of an MBO objective. Evaluations have been systematically utilized to the extent that they relate to better program management. Like the PPBS and PMS, there has been no established procedure for ensuring program evaluability. The MBO concept, as it was actually implemented, fell

short of its goals in much the same way as PPBS but for different reasons. The MBO process failed to establish the management system necessary to systematically develop and evaluate performance on the objectives.

Refocusing Evaluation

The reassessment of OMB's interest in program evaluation concluded that future OMB activities should:

-- focus on strengthening the agencies capabilities, rather than those of OMB itself, and

-- attempt to improve the quality and use of evaluation information in the decisionmaking processes without requiring it.

In short, the approach should be to encourage the agencies to improve evaluation activities but not to mandate action nor dictate what improvements should be made. Some would call this consciousness raising.

This conclusion--that OMB's focus should be on improving evaluation within the agencies rather than within OMB itself--is based on the premise that improvement in the quality and management of evaluation in the agencies will contribute better information to the decisionmaking process within the agencies, as well as within OMB. It recognizes that primary responsibility for program management, of which evaluation is a part, rests with the agency head.

Current Thinking

When the evaluation policy function in OMB was reconstituted in early 1974, its objectives and operating style were based on both the lessons of the past and the changing governmental decisionmaking environment. Writing in Public Administration Review, Lewis and Zarb set forth the definition of

evaluation used in this paper, and noted that:

> . . .OMB takes the position that each agency head is primarily responsible for managing the programs under his jurisdiction and that program evaluation constitutes an essential element of effective management. . . each Federal agency should be responsible for carrying out its own evaluation program.
>
> However, concern has been expressed as to whether the results obtained from many of these efforts have been as useful and relevant as they might be to major policy decisions confronted by program managers, agency heads, the President and Congress.
>
> Therefore, OMB will initiate a multi-agency cooperative effort to upgrade and strengthen the overall quality and relevance of evaluation carried out by the various Federal agencies and to assure that evaluation results are utilized in arriving at major policy decisions. 56/

To implement this approach, OMB now works with the departments and agencies collectively and individually, to improve their evaluation programs without imposing a singular management or evaluation system; and with the legislative branch on program design, information sharing, and similar evaluation-related issues of common concern.

Out of this collegial approach to evaluation policy have come a number of concepts that relate to the issues discussed earlier in this paper:

-- a decision-driven model for evaluation planning; and

-- an evaluation component for new Federal programs.

56/ Lewis, Frank L. and Frank G. Zarb, (Office of Management and Budget), Federal program evaluation from the OMB Perspective. Public Administration Review, v. 34, no. 4, July/August 1974: 312.

Decision-Driven Model

A program evaluation project can be considered useful if it is timely, accurate, and relevant, i.e., it is available to a decisionmaker at a time when a decision is to be made, it is methodologically sound, and contains reliable information relevant to the decisionmakers' needs.

Based on information from a recent OMB survey of Federal evaluation activities, we identified three prevailing approaches used by most agencies to plan evaluation projects. Each of the commonly used approaches, i.e., (1) projects undertaken on direct demand, (2) projects undertaken on the basis of a cyclical review of programs, and (3) projects undertaken as a result of attempts to conceptualize information needs, have one common characteristic--they rarely involve explicit consideration of the decisions they should be designed to support or identification of involved decisionmakers. Consequently, utilization of the studies in arriving at program decisions is often fortuitous.

Evaluation planners must focus on major decision alternatives or subject areas around which decisions are anticipated when developing proposed evaluation projects. Further, decisionmakers, program managers, and other staff units must review these proposed projects and approve or disapprove the evaluation plan based on the sufficiency and timeliness of information to be available for their individual decision needs. This approach, which we have called the decision-driven model, has several advantages:

-- it provides greater clarity in the objectives of individual projects; and

-- decisionmakers are better prepared to receive and use evaluation findings for specific decisions.

Operationally, the model is difficult because of the discipline required of both decisionmakers and evaluators, and because of the multiple decisionmaker mode that characterizes the Federal Government. However, these problems do not negate the value of the approach.

This model not only guides project selection and timing, it also should influence project design. The central criticism with this approach is that decisionmakers, even in the best of circumstances, rarely project their evaluation information needs beyond a 6 or 9 month time frame; and most extant evaluation techniques cannot yield reliable information in so short a time. Therefore, with the exception of those cyclical decision processes like the budget, where decisions can be anticipated a year or more in advance, serious questions arise as to the usefulness of the studies.

Since most decisions will be made without adequate evaluation information, and since the public and the Congress demand accountability for government spending and decisionmaking, it is critical that the academic and research communities develop reliable and accurate rapid turnaround techniques. The limited progress which has been made in this area falls into two categories. Preassessment techniques tell decisionmakers whether their information needs can be met through evaluation; this procedure offers indirect performance data. A second approach, based on the military quick reaction capability utilizes quick survey procedures and panels of experts to provide gross policy direction--e.g., terminate/reauthorize, increase/decrease program resources. We are suggesting that there is a pressing need for additional methodological research to address this problem.

Creative talent is needed in this area, for breakthroughs here can affect the entire spectrum of government decisionmaking.

Evaluation Components in New Programs

The development of adequate rapid feedback procedures represents, in effect, a tactical step in providing decisionmakers with generally reliable interim information. On a broader scale, it is OMB's objective to include appropriate evaluation components into programs at their inception through both legislative and administrative means. This will make evaluation easier and more useful later.

On the legislative side, working relationships have been developed with legislators and the key committee staffs in both Houses to gain agreement on the nature, structure and actual legislative language to be used in bills so that information gathering, as part of the evaluation process, is initiated as soon as programs begin. An OMB staff paper now being reviewed proposes that six elements be taken into consideration when drafting new legislation.

1. State program objectives in a measure form.

2. Seek agreement between legislators and administrators on the criteria that will be used (a) to measure the degree to which programs reach their objective and (b) to measure the degree to which programs impact the problem.

3. Ensure that extant methodology is capable of generating the information program managers required for decision.

4. Ensure adequate staff and funds are available to perform the evaluation.

5. Ensure that there are clear provisions for the flow of evaluation information from evaluation to decisionmaker.

6. Establish who will use the evaluation information.

On the administration side, the paper proposes that OMB instruct the agencies to include program objectives statements and evaluation plans for new programs or proposed legislative initiatives.

The review of proposed legislation in OMB is currently channeled through the Legislative Reference Division to the appropriate program divisions. There, a budget examiner or management associate review proposals for compliance with certain statutory and Executive Order requirements. Civil Rights, environmental impact, and cost analysis are three such requirements. The OMB circular would add the evaluation plan to this list.

Much of the impetus for the proposal to build evaluation into new programs and other current policy initiatives stems from a survey of Federal evaluation activities performed by OMB in the spring of 1974. The survey was, in effect, a first step in understanding and strengthening evaluation activity in the major domestic agencies. It has provided baseline data on the nature and scope of current agency practices. The survey:

-- identified organizational settings and priorities of units for which program evaluation represents a major and continuing responsibility;

-- discussed the nature of operating relationships between evaluation units and units involved in related information producing activities.

-- described the processes employed to plan, coordinate and disseminate evaluation studies; and

-- obtained expenditure and resource information.

An update is now in progress; this time the survey is being jointly conducted by OMB and the General Accounting Office. With the help of a panel of senior evaluation officials (generally the Assistant Secretary level) we have sought to relate the survey finding to the management issues

surrounding the decision-driven model described earlier.

We have augmented this process through symposia and conferences where we have had a valuable exchange of ideas with the academic and research communities on the use of evaluation in public policy formulation.

Future analytic efforts are planned on evaluation and the budget process and a review of evaluation methodology in selected subject areas. The papers are intended as a mechanism for eliciting throughtful comment on the issues and as reference points for OMB initiatives. For example, specific action steps identified from the current papers are:

-- An OMB Circular to provide general guidelines for managing evaluation activities and building evaluation components into new programs (now drafting).

-- In depth assessments of selected agency evaluation activities (to begin in July 1975).

-- A comprehensive analysis of the evaluation training needs of Federal executives, program managers, and evaluation staffs (to begin June 1975).

-- On a very limited basis, some technical assistance has been provided to agencies (on request) in structuring evaluation systems.

-- We are providing some technical assistance to the OMB program divisions on evaluation projects and legislative issues, on request. Labor's evaluation of the CETA program is an example.

Conclusion

The current OMB effort has been structured so that, over time, it should result in a significant improvement in the contribution of evaluation to the policymaking process.

While our primary responsibility is to improve the quality of evaluation information used by the President and by OMB, the approach I have described will benefit the Congress and the growing numbers of decisionmakers in

State and local governments. The response to the approach so far has been encouraging.

The professional evaluation community will find their work subjected to more scrutiny from Federal sponsors than in the past. Agency managers are becoming more sophisticated in the use of evaluation, Congress, GAO, OMB, and others will be increasing their demand for timely and reliable evaluation information.

As noted earlier, some better techniques are needed to satisfy this demand. More important, the professional community will have to make sure their products can stand the test of implementation.

DISCUSSION

In response to questions raised during the discussion, Mr. Graves reiterated that OMB and agency budget officers do not always use evaluation information in planning and programming. This happens because information is not always timely or adequate.

Several clarifications were made about separating the evaluation functions of setting priorities, conducting evaluations, and using evaluation information. It was noted, for instance, that there is a separate office of planning in the Department of Health, Education, and Welfare, which recommends priorities for evaluation studies to be conducted by different offices. However, recommendations for evaluations also filter up from the line agencies to the planning office.

One problem is common to all executive agency evaluations. This is the absence of a central reporting mechanism to collect and distribute evaluation reports. According to Mr. Graves, agencies should devote more attention to developing evaluation libraries or information dissemination mechanisms.

Mr. Graves also remarked that it would be advantageous to encourage Federal agencies to make all evaluation studies public. This would enable critics to double check the work of evaluation researchers with respect to assumptions and methodology used, data gathered, and conclusions reached.

A member of the audience raised a very important point tangentially related to the seminar theme. Do the OMB and Federal agencies use policy analysis? Mr. Graves replied that with the exception of the

Defense Department executive agencies do not make much use of policy analysis which incorporates the findings of program evaluations. Several social policy agencies have attempted to use policy analysis for planning and budgeting purposes, but these attempts have been futile.

The final issue raised after the OMB presentation related to how the OMB might develop statements or objectives of program goals or objectives for use in evaluation. According to Mr. Graves agencies and the OMB use four information sources:

- legislative language,
- legislative history,
- consultations with committee staff, and
- discussions with White House and agency officials.

In conclusion, Mr. Graves remarked that OMB has mixed reactions to legislatively mandated statutory requirements for program evaluations. Some, he said, are too stringent and impossible to fulfill.

"CURRENT EVALUATION ACTIVITIES IN THE GENERAL ACCOUNTING OFFICE,"
KEITH E. MARVIN, GENERAL ACCOUNTING OFFICE

My presentation will cover program evaluation activities which include evaluation methods, evaluation synthesis, and evaluation and modeling sources. First, with regard to methods, we are developing standards and guidelines for program evaluation and doing other work closely related to what Harrison Fox will be talking about later. Our synthesis activity is where we will be putting together and refining evaluation information related to specific program areas or issues. Incidentally, I don't want to leave the impression that all of the GAO work on program evaluation is done in this staff. All GAO divisions are involved in program evaluation and the handout I have provided to you lists about 60 reports issued in 1973 and 1974 which contain or deal with evaluation of Federal programs. (See Appendix .) One of the handouts describes 9 of these reports in more detail showing the kind of constructive criticisms which GAO has made to make program evaluation more valuable in decisionmaking in a variety of Federal programs. (See Appendix .)

Basic Evaluation Information

Our major activity since January 1975 has been to develop and conduct jointly with the Office of Management and Budget an inquiry into department and agency evaluation activities. As chart 1 indicates, we are collecting information on recently completed evaluations, on in-process evaluations and on the plans at least by program area for evaluation to be conducted in the next fiscal year. As the chart also indicates, we also cover the evaluation process in the inquiry and we in GAO will be interested in whether those processes are working properly.

PRELIMINARY BASIC FILE

- AGENCY EVALUATIONS
 - RECENTLY COMPLETED
 - IN-PROCESS
 - PLANNED
- AGENCY EVALUATION PROCESS

CHART 1

However, if the program described by Mr. Graves works out well perhaps we will not need to spend as much time worrying about whether the process is working as in providing better information to the Congress.

The kind of information that we will be able to provide to committees is illustrated by the loose leaf book which I have here today covering the evaluation information obtained on HEW and Department of Labor programs. The booklet is organized into sections for the major areas such as education and health.

Examples of Evaluation Information

Chart 2 is an illustration of the kind of information entered in the booklet which I just described. On the right is the title of an evaluation report and the date of issue. This is associated with the title of the program evaluated in the center column and on the left is shown the legislation which authorizes the program evaluated. We have found in some preliminary discussions with committee staffs that it is helpful to them to be able to select the information pertaining to particular legislation. We have also found that while the titles of the evaluations give them some indication of the things that they might want to look deeper into, they need more information in order to make these selections.

Chart on Descriptive Abstracts of an Evaluation

Chart 3 illustrates for one of the evaluations in the Department of Labor list how the evaluation can be abstracted to show such things as the scope. Other information which can be included is the location where the study can be obtained, the period of time covered by the evaluation, and possibly any major conclusion reached.

71-867 O - 76 - 19

EXAMPLES OF U.S. DEPARTMENT OF LABOR EVALUATION REPORTS RELATED TO PROGRAMS AND LAWS

AUTHORIZING LEGISLATION	PROGRAM	DATE	REPORT TITLE
THE SOCIAL SECURITY ACT AS AMENDED; PL90-248 AND 92-223; REVENUE ACT OF 1971; PL92-178	WORK INCENTIVES PROGRAM AND INCENTIVES (WIN)	2/74	THE EVALUATION OF THE WIN II PROGRAM: METHODOLOGICAL ISSUES AND SOME INITIAL RESULTS
THE WAGNER-PEYSER ACT OF 1933; P.L. 73-30 AS AMENDED; 29 U.S.C. 49-49 N AND 39 U.S.C. 338 THE SOCIAL SECURITY ACT OF 1935....	EMPLOYMENT SERVICE (ES)	7/73	EVALUATION OF ES TECHNICAL SERVICES ACTIVITY.

CHART 2

EVALUATION INFORMATION FOR CONGRESSIONAL SOURCEBOOK

TITLE: COMPARISON OF TYPE A PATTERN AND NUTRIENT STANDARD APPROACHES TO SCHOOL FOOD SERVICE MENU PLANNING

ISSUING AGENCY: UNITED STATES DEPARTMENT OF AGRICULTURE

DESCRIPTIVE ABSTRACT (SCOPE): TYPE A AND NUTRIENT STANDARD MENU (NSM) MENU PATTERNS WERE COMPARED IN FIVE AREAS: (1) NUTRIENT ANALYSIS (CALCULATED) FOR THE MENUS PLANNED SERVED AND EATEN; (2) FOOD AND LABOR COSTS; (3) CAPABILITY AND REQUIREMENTS OF MENU PLANNERS; (4) FOOD ACCEPTABILITY; AND (5) FOOD SERVICE REQUIREMENTS BY WORK FUNCTION. THE STUDY UTILIZED SAMPLES OF MEAL PLANNERS, GRADE 5 AND GRADE 10 STUDENTS REPRESENTING THREE USDA/FNS REGIONS (MIDWEST, SOUTHWEST, AND WEST).

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CHART 3

We will consider also whether certain features of the methodology need to be included in this kind of information. For example, users of the evaluation may be particularly interested in the goals specified for the program which normally are the basis for the choice of effectiveness measures.

Chart on Criteria for Measures

In our work on standards for evaluation, we have looked into possible criteria for the choice of measures. Chart 4 shows a number of such criteria which are not original with us, but have been specified by a number of evaluation staffs working in the field. When an evaluation is being planned, there are trade-offs which must be made among these criteria; e.g., the simplest, lowest in cost measures may not be the most sensitive measures or the ones which measure unique features of a program best. The evaluation staff will need to understand the users need to make these trade-offs efficiently. This list is an example also of the kind of standards and criteria which our Evaluation and Modeling Sources staff will be using in appraising the quality of selected evaluations and models which are of particular interest to committees. We have found in our preliminary discussions with committee staffs that when they select from the inventory, evaluations of interest, that they will be interested in our help to determine whether these evaluations can be trusted.

Evaluation and Modeling Sources System

Most of the staff on these activities are systems analysis types and we have viewed this activity as a system. As Chart 5 shows, we begin with the evaluations or models, where they are in the agencies,

- RELEVANT/APPROPRIATENESS/VALIDITY
- REPLICATABLE/CONTROLLABLE
- SIMPLE/LOW COST/FEASIBLE/ACCURATE/RELIABLE
- SENSITIVE/ COMPLETE/UNIQUE
- UNDERSTANDABLE/COMPREHENSIBLE
- ACCEPTABLE
 - CONTROLLABLE (AGENCY)
 - INTENT (CONGRESS)

CHART 4

EVALUATION INFORMATION SERVICE SYSTEM

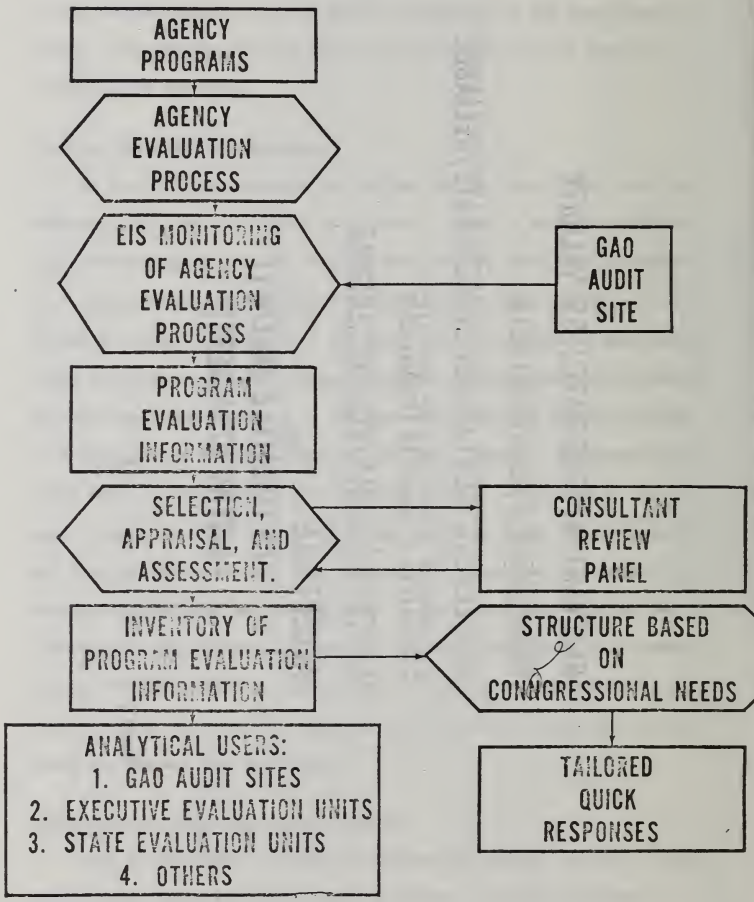


CHART 5

and have established a two-way communication between our staff and all of these major staffs. We also have a continuous communication with our resident audit staffs at the agency sites. This establishes a basis for us to monitor on a continuous basis any evaluation or model or any evaluation process if there is a need to do so. This is also the relationship through which we have conducted the recent joint Office of Management and Budget and GAO inquiry into agency evaluation activities, which has provided a basic file of program evaluation information.

As I have already indicated, we are able from this basic file of information, to provide to any interested committee a list of the evaluations which have been conducted of programs authorized under particular legislation. When we go beyond that to assist the committee in appraising the quality of any evaluation or mode, we will also call on outside experts to supplement the knowledge or skills of our in-house staff. As we see it, this process will build an inventory of the most relevant and highest quality evaluation information which can be structured based on the needs of the various congressional users, to provide tailored quick response evaluation products for these users.

In addition to the congressional users, GAO audit groups will use this information in reviews of program results. We expect that executive agency evaluation staffs may wish to use this inventory to look for evaluations of programs which may be closely related to the ones they are evaluating. There are a number of State evaluation units in existence and we expect that they may find this inventory useful as well. We expect that will be a two-way street and eventually expect to have in our own inventory the best State level evaluations which

are available, particularly those which are evaluations of Federal grant programs.

We believe the evaluation and modeling inventory I have described will have both direct use to the Congress, and will have indirect benefits in better analysis and evaluation for the Congress.

DISCUSSION

The discussion following the GAO presentation centered on the expected utility of the joint GAO/OMB program information system. Mr. Marvin said that there was considerable and enthusiastic optimism regarding the generation of program related information required for legislative evaluation and budgeting purposes. However, it will be quite a while before the two agencies develop a system which is both feasible and tailored to legislative information needs.

"PRACTICAL APPLICATION OF EVALUATION IN LEGISLATIVE PROCESSES", WILLIAM H. FOSKETT, CONSULTANT *

. The following remarks on Program Evaluation: A Manual for Legislators and Legislative Staff will discuss:

- what we mean by the term "evaluation",
- the concerns and perspective behind the manual,
- basic ingredients involved in using evaluation for oversight, and
- some cautions for using evaluation.

My remarks represent one co-author's perspective which may or may not be shared by the other co-author (Harrison Fox) on any particular point. These remarks will not substitute for the manual itself, which goes into more detail on specific topics such as legislative language, leverage points, and the need for coordinating evaluation techniques with legislative processes. (The manual appears in the Appendix.)

What "Evaluation" Means Here

A variety of management research and social science research techniques come under the rubric of "evaluation". Though there are many difference among techniques, they are alike in that they are all empirical and systematic. Use of these techniques is not restricted to oversight of existing "programs". They may be applied before a program even exists (e.g., needs assessment) or they may cut across programs (e.g., policy analysis). Evaluation techniques may yield evidence on program implementation (e.g., process evaluation), on the relative effectiveness of different approaches to a particular need or goal (e.g., planned variation): or, on the significance of program effects (e.g., impact evaluation).

* Dr. Foskett assisted Dr. Harrison Fox, of Sen. Brock's staff in preparing the draft manual on program evaluation. Dr. Foskett is chief, Design and Assessment Division, Child Development Associate Consortium, Washington, D.C.

The research tools involved in evaluation are the same as those used in academic theory building. However, in evaluation these tools are driven by the framework of political issues and public policy decisions. Evaluation is a loose collection of empirical tools for systematically gathering facts, examining them and using them to think through public action.

Concerns and Perspective Behind the Manual

Evaluation offers great potential for strenghtening congressional oversight. But to realize this potential, legislators and legislative staff need to know how to use the tools of evaluation in service of legislative needs. An ability to apply evaluation in legislative processes need not require technical training in evaluation. But an aspiring legislative user of evaluation must know certain basic leverage points about the substance, focus and quality of evaluation research in order to integrate it into legislative strategies and tactics. The intention of this legislative users manual of evaluation is to acquaint congressional readers with the leverage points of evaluation in such a way that evaluation can be applied more powerfully and constructively in legislative work.

Securing the Congressional Stake in Evaluation

This evaluation user's manual is written on behalf of the congressional stake in evaluation. The style, timing and substance of evaluation has been influenced mainly by Executive branch management and policy planning needs or by academic notions of research. The evaluation profession, evaluation research institutions, and the concepts of evaluation have developed in service of executive clients, not legislative clients. Until legislative evaluation users' needs are strongly defined and established in

practice, staff should give close and thoughtful attention to evaluation research done for use in the legislative arena. The evaluation community does not already know how best to serve legislative clients. It will have to learn; users will have to teach it.

The manual does not present or discuss the evaluation activities of the Executive Branch. This omission should not be interpreted as diminishing the importance or necessity of evaluation conducted on behalf of Executive planning and management needs. Nor should it be construed as minimizing the importance of Congressional and Executive cooperation and coordination in a wide range of evaluation activities. The evaluation activities of the Executive Branch should not be displaced or wholly duplicated in the course of obtaining Congressionally-oriented evaluation services. But as an evaluation user, Congress has some interests which it can better define for itself. This manual seeks to open the way for Congressional definition and pursuit of its own distinctive interests in evaluation.

The interests and perspectives of the Congress and the Executive branch differ by design. The perspective of this manual assumes that a balance of power among co-equal branches of the government is desirable. But a variety of factors has created an imbalance among the legislative and executive branches. One factor, the information explosion, has flooded Congress with torrents of data. Another factor, the increasing complication of our Nation as it has grown in size and experiences, imposes many more demands on oversight nowadays.

The Executive Branch has been relatively better staffed and organized to deal with the complexity and the explosion of information that characterizes our times. The result has been a marked loss of relative congressional power as events and Executive Branch development outstripped the evolution and practice of oversight. The cure for this imbalance is

not to diminish executive Branch capability to deal with the volume and complexity of information, but to increase Congressional capability to deal with the volume and complexity of information it needs for oversight.

New Forces Come Into Play After a Law is Passed

The interests, the perspectives and the pressures which coalesce in Congress to raise an issue or to pass a law differ from those which operate in the Executive Branch after the law is passed. Evaluation within Executive agencies is an adjunct to good management and should be encouraged and supported despite the discomfort it sometimes brings to bureaucracy. But some agencies actively resist doing internal evaluation--and are even less likely to cooperate actively in developing evaluation evidence for congressional overseers. Even when an agency is actively, genuinely committed to internal evaluation, the priorities and plans which take shape within the Executive do not necessarily jive with those of Congress. Evidence which might indicate need for internal improvement, or need for actions other than those proposed or taken by the agency for other reasons is unlikely to be promptly and clearly provided voluntarily by even the most diligent agency evaluation units. Nonetheless practical factors (e.g., the burden of data collection) preclude complete duplication of evaluation efforts by the Executive and Congress. Better access to data for Congress, stronger planning for oversight, and stronger technical approaches (e.g., independent simultaneous statistical analyses of shared data) can do much to alleviate these problems however.

Using Evaluation Constructively

Evaluation should be used to discover what things work, and how successful efforts differ from similar but unsuccessful efforts. Data

produced by evaluation should be used to sort out those things which can be accomplished from among the many worthy goals and efforts which compete for scarce resources. Specific evaluation techniques suitable for a variety of legislative concerns are available. But none of these specific techniques can or should substitute for traditional congressional investigation. Evaluation is not a "scientific" alternative to that congressional or journalistic investigation which draws attention to flaws and shortcomings to mobilize political forces.

Legislative Precedent for Evaluation

Congress has provided the authority for Executive evaluation in a wide variety of legislation but relatively little of this has been tailored to oversight needs. Though most experience and legislative authority for evaluation has focused on Executive Branch management usage rather than congressional oversight usage, Congress does use evaluation on an occasional, ad hoc basis (e.g., the computer simulation of alternative funding formulae for ESEA Title I done by C.R.S.). Some of the techniques familiar to Congress (e.g., staff investigation teams, polls of constituents) are sufficiently similar to special evaluation techniques that in many cases these could be made much more powerful and productive than they already are.

Key Elements of Evaluation for Legislative Users

Evaluation is one oversight technique among a whole array of oversight techniques which Congress has at hand. Evaluation is not a substitute for these other techniques. Evaluation (in any of its specific types) should be coordinated with other oversight techniques in a whole oversight strategy.

Used tactically within an oversight strategy, properly selected and coordinated, evaluation techniques can produce a flow of concise information which strengthens other oversight techniques and is valuable in itself.

This happy outcome will not result merely from innate characteristics of evaluation itself. Successful use of evaluation in legislative processes requires attention and control by evaluation users. User control, however, does not mean making technical judgments by political fiat, but rather properly distinguishing and protecting political judgements from technical information. User control and attention should keep the evaluation researcher targeted on the substance and time-frame of his client's needs. It must not be exercised to censor results.

Evaluation Resources for Congressional Users

Oversight evaluation can originate in at least three different settings which make a difference in access to evaluation resources:

- in the history or language of a particular bill or act,
- within the work agenda of a particular committee, and
- in an individual legislator's personal office.

The resources available vary under each of these different origins. In the history or language of an act, it may be possible for Congress to obtain evaluation resources through the evaluation staff of an Executive Branch agency. The various congressional agencies (i.e., CRS, CBO, OTA, GAO) and services (e.g., House Information System) can provide resources needed for evaluation. Availability varies with the agency involved and the source of the request for resources.

When working in an individual legislator's office more resourcefulness is required to obtain evaluation services. But it can be done well and powerfully if the office is willing to assign a staff member to locate and

monitor the necessary professional evaluation resources in settings outside the Congress and its agencies. Such resources can often be obtained at no cost or low cost if the office is in a position to use fellowship programs, university research centers or faculty or other concentrations of personnel trained in evaluation research. But to preserve his own control there must be good user liaison and monitoring of such resources. Through various computer index and access systems 9 e.g., SCORPIO) or the quick-response staff at Library of Congress, some evaluation reports can be gotten "off the shelf." But chances are that these reports will be lengthy, mostly irrelevant and out of date for your concerns. Such faults are not with the retrieval systems which are regularly updated, but are due more to lack of adequate user monitoring when the evaluation was being done.

What is Takes to use Evaluation in Oversight

Using evaluation on an ad hoc, catch-as-catch-can basis can have limited but dramatic effects occasionally. But this approach is more mischievous than effective in gaining substantial changes. If you wish to use evaluation systematically to give power and substance to oversight activities you will need:

- o Professional staff assigned to locate, monitor and focus evaluation resources and activities and coordinate them with oversight activities;
- o access to professional evaluations, i.e., assistance of evaluation specialists working outside the congressional staff in a variety of institutional settings; and
- o data--either raw data collected specifically from the activities being overseen, or secondary data collected originally for other purposes but reanalyzed to suit oversight needs in the specific situation.

Coordinating Evaluation Techniques and Legislative Processes

Assuming the capacity to put the above resources together, how and when can they be used? The kind of evidence needed depends on what the particular oversight question is. The particular evaluation technique to be invoked depends, thus on the kind of question being asked. If at least the most important, predictable oversight questions are framed well in advance it will be much easier to provide for and get the type evaluation evidence needed.

When you choose to bring that evidence into play is a matter of political judgement--although the natural life of legislation would make certain questions premature or irrelevant at certain points.

A brief guide to evaluation techniques which provide evidence best suited to answer some general types of oversight questions is shown in Table 1 (on the next page). Beside each question are listed a variety of evaluation techniques which can generate the type of evidence needed to answer that question. This table can be used as a guide to the kinds of evaluation that should be called for in legislative language or history. Or, it can be used in an ad hoc approach to assist in finding the most relevant types of evaluation for the type evidence you need.

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TABLE 1.

EVALUATION STRATEGIES AND TECHNIQUES WHICH MAY HELP TO ANSWER OVERSIGHT QUESTIONS RAISED IN LEGISLATIVE ACTIVITIES.

OVERSIGHT QUESTIONS *which can be answered in whole or part by "Evaluation Strategies and Techniques" cited beside each in the next column.*	EVALUATION STRATEGIES AND TECHNIQUES *which can be adapted to provide answers to "Oversight Questions" shown in column at left.*
1. What's the problem? What's the *extent* of the problem?	1. needs assessment; opinion surveys; Delphi technique.
2. What kinds of things could be done to remedy the problem?	2. policy analysis; evaluation synthesis; information retrieval .
3. What evidence is there to indicate that each of these remedies could could work?	3. information retrieval; pilot testing; evaluation synthesis.
4. What does it take to make these remedies work? How much will it cost to get the *size* of effect to remedy the problem?	4. needs assessment; pilot testing; cost-effect/benefit analysis; computer simulation modelling
5. What should the Federal role be? *To develop remedies? To supply* remedies (services) directly? *To fund state or local governments* to develop or supply remedies? *To provide incentives for the private sector* to develop or supply remedies?	5. policy analysis; *POLITICAL JUDGEMENT*
6. Which combination of remedy and Federal role best suits the goals and intentions of a Bill or Act?	6. pilot testing; planned variation; policy analysis; *POLITICAL JUDGEMENT*
7. Do the goals and intentions of a Bill or Act match up with the nature of the problem, the remedies and the Federal role envisioned by the Bill or Act?	7. policy analysis; *POLITICAL JUDGEMENT*
8. Does the Bill/Act say what Congress intends *clearly* enough (in legislative language) and *conspicuously* enough (in legislative history) to set criteria against which you can *compare* Congressional intent with an Agency's plans, program implementation and budgets?	8. *POLITICAL JUDGEMENT* in consultation with independent evaluation specialists
9. Are Agency goals and plans clear enough for you to tell if they are consistent with Congressional goals and intents?	9. pre-assessment of evaluability; certification of readiness for evaluation
10. Are Agency program plans and objectives clear enough to evaluate for *Executive-Branch* policy review and program management? What Agency resources and personnel are devoted to program evaluation specifically?	10. pre-assessment of evaluability; policy analysis; *POLITICAL JUDGEMENT*
11. Are program services being delivered in the type, amount, quality and time-frame that Congress intended?	11. process evaluation; responsive evaluation; p.p.b.s.(or other systems analysis approaches); program auditing; time and motion studies; blue-ribbon panels.
12. Within a program what *kinds* of projects are *succeeding*? How many? What *kinds* of projects are *not succeeding*? How many? How are the succeeding projects *different* from the others--i.e., what works?	12. success search; modus operandi evaluation; institutional self-study
13. Would the results reported for a program have happened even without the program?	13. "experimental" program/evaluation design; modus operandi evaluation
14. Is the program effective in meeting the goals or needs set forth in the legislation which gave birth to it.?	14. effectiveness evaluation; adversary evaluation; competing data analyses
15. Is the program effective *enough* to solve the problem that the legislation originally addressed?	15. impact evaluation; needs assessment; public opinion survey
16. What *side-effects* does a program have? How big are they? How valuable are they?	16. side-effects survey; "goal-free" evaluation; blue-ribbon panels
17. What can a program mean in personal, human terms? The bad? The good?	17. human resources accounting; case-studies; one-person at-a-time studies
18. Has the problem changed that was originally addressed by the Act? In what ways? To what extent?	18. needs assessment; policy analysis
19. Is there now a better way of getting at this problem?	19. policy analysis; information retrieval; pilot testing; evaluation synthesis
20. Should we continue the program? As it is? With major changes? Not at all? Fold it into another program?	20. *POLITICAL JUDGEMENT*; needs assessment; opinion surveys, blue-ribbon panels

Providing Legislative Authority and Direction for Evaluation

To plan ahead for oversight of executive activities, the necessary evaluation provisions should be written into the language or history of an act. The more conspicuously this is done, the more likely that the right type of evidence will emerge at the right time. And, strong evaluation provisions often have the desirable side-effect of mobilizing Executive activities more conscientiously than when Congressional follow-up is not expected.

To adequately provide for evaluation such language should cover the following points:

- °purposes of the evaluation activities;
- °who will conduct the evaluation research (i.e., the specific organizational unit of the Executive or congressional agency chosen);
- °the subject matter of the evaluation (e.g., "measure public perception of the responsiveness of government at the Federal, State and local levels. . ");
- °when each kind of evidence from the evaluation will be needed (e.g., evidence of program implementation or service delivery to be provided yearly);
- °specific funding to support evaluation activities (if clear arrangements are not made funds for evaluation are often usurped by more comfortable or dramatic activities);
- °reporting arrangements (to whom, when, what format); and
- °access to data (especially important to secure when an executive agency will be conducting the evaluation, if you wish the data analyzed from alternative points of view).

Some appropriate phrases covering various particulars under each of these points may be found in Program Evaluation: A Manual for Legislators and Legislative Staff. If all the above points are covered in language and history, a sound basis for oversight oriented evaluation will be provided.

These points may also be used to review the adequacy of oversight provisions in existing legislation. If any are missing it may be difficult to oversee the legislation in other than a catch-as-catch-can basis. Broad, permissive provisions for evaluation can work, but will require special attention if they are to actually yield timely, relevant evaluation evidence. Overly prescriptive provisions can be equally, if not more troublesome--e.g., stipulating specific measures or statistical techniques that later prove susceptible to administrative manipulation.

Technical Leverage Points to Monitor or Review

Unless you are trained and experienced in doing evaluation research, to become too involved in technical details of evaluation will consume an inordinate amount of staff time and may disrupt or delay the necessary research work. However, legislative staff can and should have a general, critical familiarity with the substance of an evaluation on the following technical leverage points.

- -the goals or needs addressed by the activities being evaluated as defined in the evaluation;
- -the extent to which evaluated activities are actually implemented or delivered as described;
- -the actual measures that will be fed into the evaluation;
- -the logical plan for collecting, comparing and drawing inferences from the data--i.e., the research design; and
- -the kinds of statistical analyses which will be used on the data--there is usually more than one "right" approach.

Goals

Evaluators not accustomed to working in legislative settings place great emphasis on the need to state goals clearly. But often the goals of

legislation are broadly stated to obtain passage of the legislation. This need not and should not prevent evaluation. An evaluation can be referenced to the results of an empirical needs assessment, to detailed program plans submitted by an executive agency for approval of an oversight committee, or to legislative history that clearly stipulates the reference points intended.

Service delivery

Evaluation of program effectiveness or impact is unsuitable without prior evidence to establish that the program was actually delivered as described. Tactics such as "certification of readiness for evaluation" will help prevent the error of inferring that an inadequately implemented program would not work if adequately implemented.

Measures

Measures should be pertinent to the kinds of issues Congress was concerned with in enacting the legislation, as well as consistent with the goals, needs, or program descriptions to which the evaluation is referenced. Multiple measures should be used wherever feasible.

Design

The logical plan for collecting, comparing and interpreting the data should be able to rule out or minimize alternative explanations for the results obtained. "Experimentation" evaluation is the strongest technique for ruling out alternative explanations of results.

Alternative explanations

The possibility that findings yielded by an evaluation are an artifact of a particular statistical technique can be minimized by conducting alternative, simultaneous statistical analyses of the same data. Results

from such competing analyses of the same data should be compared for similarities and differences of findings they yield.

Some Cautions For Using Evaluation

The Data Burden. Request for data inundate participants, staff and managers of Federal programs at the state and local levels. Responding to such requests diverts resources required for program operations. Ordinarily the data compiled do not benefit the program, because the data are organized into categories that are used for some Federal-level administrative pupose. The expense of collecting and compiling the data is borne at the local level, ordinarily without any Federal support.

Legislators and their staff contribute to such burdensome and wasteful data collection in two ways. First, two different purposes for data collection are often mixed:

> a. to identify and pursue individual cases non-compliance, malfeasance or project failure in order to stimulate legal action or exert pressure on behalf of individual interests,
>
> b. to oversee programs or jurisdictional areas (e.g., welfare benefits) on the whole for the purposes of effecting programmatic improvement, authorization, appropriations, or gauging the need for new legislation.

Second, legislators and staff are prone to rely far too heavily on one-number indices of program implementation or effectiveness.

The pursuit of data to redress abuses in individual cases should be gathered in traditional, casework, investigatory ways. It is extremely wasteful to tie up national data collection with cops and robbers tactics which do not provide adequate data for consideration of broad areas of problems and performance. Reliance on one-number indices usually goes hand-in-hand with this approach. The result is a proliferation of low-quality data of very limited use for broad legislative action.

Executive agencies must also share some of the blame for insufficient planning of data needs and usage. Failure of interagency coordination may cause local respondents to answer the same type question with different configurations of data for different surveys.

Evaluation Failure or Program Failure? Past experiences (e.g., the evaluation of Headstart) have taught that flaws in evaluation research design should be eliminated before drawing conclusions about the success of failure of that which is evaluated. Failure to establish that a program was implemented as described or premature measurement of program effects are two of the simpler evaluation failures. Beyond these are the more esoteric, but important problmes associated with measurement, research design and statistical techniques.

Evaluation bias. Evaluation techniques are empirical and usually objective, but not unbiased. Evaluation biases arise from necessary working assumptions, from technical judgements that must be called and from other legitimate sources. Barring the unlikely elimination of biases, it is wise to think of the findings of evaluations more as if they were legal evidence than scientific fact. Law has developed a variety of procedures and safeguards for dealing with evidence that can be most helpful in working with findings from evaluation. The application of select legal concepts to use of evaluation findings is being developed by Robert L. Wolf, currently at University of Indiana.

DISCUSSION

Several points about priorities for doing and using evaluation were raised in the discussion following the Fox/Foskett presentations. It was noted that frequently political considerations and political expediency delimit both the selection of programs to be evaluated and the use of evaluation information in decisionmaking. The use of evaluation in decisionmaking might be enhanced if congressional committees and Federal agencies developed a system of priorities for evaluation. Such priority statements should outline specifically the questions which should be answered in the evaluation. Additionally the quality of evaluation research might be improved if simultaneous evaluations were conducted of the program. Similarly it was noted that there already are a wealth of evaluation reports and secondary analyses of many programs. Staff might find it useful to review these reports before embarking on an evaluation in order to improve the formulation of questions about the program and to enhance cost/effectiveness in doing evaluations.

"THE STATE OF THE ART OF PROGRAM EVALUATION",
CLARK C. ABT, ABT ASSOCIATES

Ladies and Gentlemen, my topic this afternoon is the state of the art of program evaluation. I'll try and cover as briefly as I can something about what program evaluation can do and can't do, particularly from the legislative aspect, how the program evaluation state of the art advanced in the last decade, who can do program evaluation, what we've learned about how it should be done, how quickly and cheaply it can be done, and some future directions.

First of all in terms of what program evaluation can do and what it can't do, I make some assumptions of rationality that more information is better than less and that there is a high cost to uninformed decision making. These are assumptions; they are not always operating explicitly, but ideally would be. Cliff Graves mentioned some criteria at the Office of Management and Budget in terms of what evaluations should be able to do -- they have to be timely, relevant, and accurate. We have empirical evidence that evaluations can be as timely as two weeks. Recently the Office of Technology Assessment operated some evaluations, and one on the ERDA took two weeks, another one on offshore exploration which had significant impacts on leasing policy took three weeks. So the rationalization that we don't have time to do evaluations because it takes years and we have to make decisions in weeks is not valid. Evaluations can be done in weeks.

Years ago, I used to be involved in doing technical intelligence evaluations of large scale weapons systems and we usually had a week to respond to what the Air Force called "quick reaction capability requirements". We found that in general these one-week evaluations of new intelligence information on systems developed about 90% of the information about program effectiveness that we got in a further year's additional study. I'm not saying that's always the case in social research, but a great deal can be done in a very short period of time.

In terms of meeting the criteria of relevance, the question is, "Can program evaluation answer questions of relative benefits and costs, and of cost-effectiveness and impact of programs?" I believe that evaluations can, although they frequently do not, and I'll get into some of the obstacles to their answering the relevant questions in a few minutes.

We can measure cost-effectiveness and cost/benefit of any kind of program. Let me draw the distinction between cost-effectiveness and cost/benefit. Cost effectivness is easier; some criterion of effectiveness is set, such as advance in reading scores in an educational program, and the amount of advance per unit of cost is the cost-effectiveness or, more correctly, the effectiveness divided by the cost. It's basically a measure of the desired program output over cost input.

Benefit/cost is harder to compute because here we are computing benefits and costs in commensurate, usually dollar terms. We're trying to estimate what amounts to computation of return on investment, so that we can compare different programs. It is hard to compare years of reading achievement per dollar with percentage reduction in cancer

fatalities per dollar -- two completely different programs in education and health. If you have benefit/cost ratios for both, or return on fungible resources invested, you can compare those and when you can compare across programs, ideally, you can optimize the whole portfolio of government investments by what the economists call equalizing marginal utilities.

All programs have a production function which usually shows gradually increasing productivity per investment up to some point of declining or diminishing returns to scale, at which point they taper off. Ideally one would invest in all the programs at the accelerating part of the curve, and when they start to flatten out, disinvest and invest in other programs that are still accelerating their productivity. One can't do that unless one has benefit/cost measures. We do know how to get those with program evaluation.

We can also operate within programs to determine the components that are strongest and weakest and thereby improve programs. We can evaluate past programs through summative evaluations; we can evaluate present programs through formative evaluations in which continuous feedback is provided the program to continue to improve it; and we can estimate the impacts and cost-effectiveness and benefit/cost ratios of future programs, either with simulation or if there are too many variables involved and our theory is inadequate for simulation, through pilot programs and planned variation experiments.

We can determine the past, present, and future impacts of programs in various dimensions of concern to voters and policymakers -- physical impact, social impact, economic impact, political impact, impacts on the

actual physical state of the environment, on the state of people's opinions, on their market response (we're measuring right now the elasticity of demand and supply for housing under conditions of housing allowances), the psychological impacts, the behavioral impacts.

We can do all of this to resolve conflicts of program choice, to make decisions more rationally about whether to start up a program, whether to modify, expand, or contract a program, or whether to terminate a program, and we can aid that same set of decisions within a program about program components.

What we cannot do with program evaluation is create new programs, make decisions, make the assumption of rationality come true, and get users or consumers of program evaluations to ask the right questions. We also cannot make value judgments that have any credibility where these are decisive program decisions.

The most important limitation of program evaluation is that we can't get people to use it -- at least not consistently -- and there are three main reasons why we can't. Keith Marvin mentioned that in a survey of government agencies of why there was little or no benefit/cost analysis in budgeting, the answers were that it's hard to measure benefits and costs, there is not enough staff, and there is not enough time. I'll mention something about the staff and time resources later. Concerning it being hard to measure benefits and costs, I think there is plenty of economic and other theory that enables us to measure the benefits and costs of any program. The next major breakthrough in program evaluation will not be in methodology, I believe, because we have

sufficient methodology to do the job now, but rather in government utilization -- particularly in the cross-cutting agencies of OMB, GAO and Alice Rivlin's new organization.

The three main obstacles to actual program evaluation use, I believe, are goal conflicts, communications failures, and knowledge gaps. On goal conflicts, part of the problem is that there is not a clear agreement about the purposes of evaluation between the sponsors, the operators, and the users. For example, HEW may sponsor an evaluation that Congress will use and that some independent research organization will actually operate. They don't necessarily all have the same interests, and in fact there is a functional tendency to look at it differently. Evaluators want clarified goals and clarified consequences. Political actors who sponsor evaluation, and particularly who sponsor programs to be evaluated, sometimes need to reduce the distinctions and to muddy them in order to build winning coalitions that will get programs through. So they may not have the same interests, at least not at the same time, as evaluators.

There are many communications failures among those three groups, partly because they don't always speak the same language. I won't belabor that whole issue, but I think the main reason is because there are unclear statements of specifications for the operators of program evaluations. I have some specific suggestions which, if they were worked into legislation requiring program evaluation, might reduce the communication failures between program evaluators and program evaluation users.

Most frequently the work statements of program evaluation requests for proposals describe what they want done and how but not why, and there is very little information to the bidders about the actual purposes of the evaluation, partly for the very realistic reasons that purposes differ and that might be a source of conflict. With that overspecification of the means of execution of program evaluations, we have support for non-competent bidders because they have their work laid out for them, and a great constraint and disincentive to innovation on the part of competent bidders.

On the other hand, some work statements are so vague and some mandates for program evaluation are so global and unspecific that one gets involved in a guessing game of what is really intended and the most persuasive salesmen win the work rather than the people who might be the most competent. In terms of the overspecification error, the countermeasure to that, I believe, is limitation of the specifications to outputs of program evaluation and constraints when obtaining those outputs, without definition of populations to be sampled, sample sizes, research design, and so forth, which are best left to the program evaluators to work out.

With respect to the error of underspecification, the trouble here is that there is often a confounding of competence testing of potential program evaluators with contractual definition of the work output. It is desirable here to separate the two and make competence testing of the potential program evaluators a completely separate part from the actual specification of the work. That can be done by giving an exam or reviewing records or asking for a specific competence demonstration, and then separating that from the actual work to be done.

Work outputs should be defined in operational terms. Most of the enabling legislation for program evaluation that I have seen is extremely vague about the very specific questions it wants answered, and here I think the work of Bill Foskett and Harrison Fox 57/ is quite useful in helping to give you an idea of the kinds of questions that need to be specified. It's very hard to evaluate evaluations for whether they've been relevant and answered the questions if one doesn't know what the questions are. So legislation calling for program evaluation should have very explicit statements of what the minimum set of policy questions and program questions to be answered should be.

Now I make a distinction between asking program evaluation questions and insisting that all programs have specified goals. Joe Wholey at the Urban Institute insists that you can't evaluate a program if you don't know what its goals are. I think he's certainly correct in that it's much easier and better evaluating programs whose goals are specified, than where goals have changed over time, or their goals are bogus goals that mask a loose coalition of a variety of goals that are actually operating. So if one requires a clear specification of goals before program evaluation can be effective, one immediately opts out of most program evaluations.

There is no requirement, however, that we can't have specific objectives for program evaluation, even if we can't detect specific program goals. In other words, one can see a program, let's say a health maintenance program in a rural community, and it may never have bothered to put its goals together and one can conceive of various goals that are desirable and say, now the object of the evaluation of this program is to determine whether this rural health program made any difference to

57/ See the Appendix.

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the health of the rural area resident -- whether that was the program goal or not, it should have been.

It's very possible to write evaluation goals into enabling legislation without requiring program goals. The incomplete or absent explanation of why the research is needed deprives program evaluators of the political context and comprehension of what questions are to be addressed. In case you missed putting down what the evaluation objectives should be by informing the program evaluators why the research is needed, they can at least then derive the evaluation objectives. So its very important to put those down to add to general context.

Most evaluation results do not feed into program or budget decisions. The connection is mainly random right now. I have it from some highly-placed authorities who I am sure would not wish to be quoted, that there is no significant connection now, no planned connection between outputs of program evaluations and the major programmatic budgetary decisions about programs. It doesn't mean it never happens -- I'm just saying it doesn't happen usually and it doesn't happen on a planned basis. I think Cliff Graves pointed out, quite accurately, that program evaluations are often used in making program decisions; but I think we could argue that they should always be used and even if they are used, the results may be a little stale and if we had planned for the output of program evaluation to feed into program decisions, the results would be better.

I would suggest that in any enabling legislation for program evaluations these be designed as decision-driven evaluations -- that is, the

scheduling of the program evaluation results should allow sufficient time afterwards for consideration for a decision that has to be made using those results. Many program evaluations have conflicting goals, adding to the communications problem. These conflicting goals are reflected in either global work statements and specifications or very fuzzy ones. A way of dealing with this legislatively is to resolve the goal conflicts internally before writing the specifications for the evaluation, rather than expressing conflicting aims in the specification for the work. If these conflicting aims cannot be resolved -- and they often can't be -- it is better to accept the conflict and say we will simply sponsor two kinds of evaluations that have conflicting objectives and they will be mutually independent and we will resolve conflict after we get the results of the evaluations, rather than to anticipate that conclusion, mush the issue, and try to get a compromise evaluation going.

The knowledge gap is the third major reason for program evaluation being underutilized, the first two being goal conflict and communication failures. The main problem in the knowledge gap is that it's a gap existing on both sides, both on the side of the program evaluation sponsors and users -- not necessarily the same group -- and the evaluation researchers or producers, and neither group completely or fully appreciates the position of the other.

Program evaluators and researchers rarely appreciate the full political context and the pressures acting on government decision makers to make a decision, and the kinds of sensitivities they have to respond to. On the other hand, government decision makers, unless they come from

a background of social science or evaluation research, rarely appreciate the possibilities and limitations of program evaluation research. As a result, the government sponsors generally ask for less than they can get in terms of speed, relevance, and validity, and don't insist on as high standards as they could insist on. The evaluators, in turn, are not as responsive and communicative with respect to the political needs of the government sponsors as they could be if they had the information that they need to be that way.

One of the problems is that evaluators often live in a fantasy world of ideal efficiency. Cost-effectiveness and benefit/cost ratios are very important to them, and after one has been working very hard to get these things for many years, one tends to assume that's what the world really cares about. Then it comes as a great shock after years of research when one actually talks to a Congressman or a legislative aide and starts talking efficiency, and the other person seems to be backing away all the time and gets a distant look and the eyes kind of glaze over, and you know you're not communicating. Then, if you have enough time and you're a little sensitive and you draw the other individual out, you find out that the concerns are really about what Harold Lasswell very ably defined years ago as the work of politics -- who gets what, where, when, and how, and not how efficiently and not how effectively. 58/

58/ Lasswell, Harold D. Politics: who gets what, when, how. New York, McGraw-Hill Book Co., 1936.

Efficiency and effectiveness are considerations, but probably not the most salient considerations. They are used as levers or sticks to boost or depress various popular or unpopular programs, but they are not the central issue they seem to be the methodologists. So there isn't really a good mutual understanding here of the needs of evaluation research, and I think a lot of that can be addressed by simply more communication between potential users of the evaluation research and the evaluation researchers themselves.

Often there is the sponsor who intervenes, and the sponsor may not have the user's best interests at heart. For example, the user may be the Office of Management and Budget to decide program allocations, the sponsor may be a sub-department of an agency that's trying to prove that a particular program is terribly cost effective in order to continue and expand it indefinitely. Obviously here the user and the sponsor have very different objectives. The sponsor has a -- public relations is too crude a term -- a support objective. The user has a comparison objective -- these are very different goals for evaluation research. If the evaluator is too responsive to sponsors, he may defeat the users' purpose. All three groups have to interact in the process.

How has the program evaluation art advanced in the last decade? First let me suggest that it's advanced enormously but there have been hardly any theoretical breakthroughs. We've had an engineering advance but not a scientific advance. Take the analogy of nuclear weapons or nuclear power. The theoretical work on that was pretty much completed in the 30's but it took another 20 years and it's still taking time to

fully realize the engineering applications of that theoretical work. In the same way, most of the statistical concepts, the experimental designs, the instrument design issues, the operational designs of program evaluations were done in the 1940's or earlier -- many of them in World War II operations research, in earlier public opinion and marketing research, in survey research in the 1930's developed for commercial purposes.

The scientific work was done a long time ago, but in the last ten years, partly through the diffusion of the cost-effectiveness analysts from the Defense Department to the social programs agencies of the government since the middle 1960's, these methods have diffused through the rest of the government, and, with the increasing investment in social programs, the techniques have begun to be applied. A lot of the mistakes and errors we've made in social program evaluations have resulted in the rediscovery of things that have been known scientifically for 20 years but were simply not known to social programs evaluators.

A good example is the regression artifacts that limited the validity of the Westinghouse/Ohio evaluation of Headstart, which as you may know could not find any significant achievement gains in children as a result of Headstart, and had enormous policy impact in probably limiting the funding in Headstart, resulting in other programs to maintain the effect that extinguished too rapidly such as the Follow-Through program, and experimental planned variation programs, rather than massive national programs based on theoretical assumptions that were unproven empirically. One of its main effects was the methodological one showing very dramatically the great limitations that would result from a flawed experimental design; namely the lack of randomized selection of experimental

and control groups partly responsible for the regression artifacts, which made it impossible to attribute the findings reliably to the program.

We've had a great deal of technological development in program evaluation research in the last ten years, with the diffusion of survey research methods, experimental design methods, instrumentation methods, diffusion of statistical sophistication, diffusion of cost/benefit and cost-effectiveness analyses to new applications from their original hardware technology and military applications to health, education, welfare, housing, criminal justice and so on, and this is still going on. We've had an increase in the sophistication and sensitivity to the limitations.

The evaluation art has advanced to the point today where we can evaluate anything, we can determine benefit/cost ratios, we can determine relative and absolute cost-effectiveness -- what we can't do is always get it and communicate our results.

Another major change in the last ten years has been the widespread diffusion of large-scale data processing capabilities. Ten or fifteen years ago a lot of the survey research we carry out now was practically too expensive. In our housing allowance demand experiment we did a base-line survey of 100,000 to finally select 4,000 households for the randomly selected control group. Even with 4,000 households because there are quite a few variables, some of the cells just barely achieve statistical significance in size. This was done for a few million dollars within a few months. Before large-scale data processing facilities were available, it would have taken many years and probably tens

of millions of dollars -- it would have been at least an order of magnitude more expensive. So we have enormously greater data collection and data processing and reduction power at our disposal than we've had before, and we are not using all of it that we have.

Given these advances in the state of the art in the last decade and what program evaluation can do and what it can't do, I'd like to quickly mention some requirements for doing it effectively in telegraphic form. I just want to give you an idea of the richness and complexity of this field, and that there is just so much to be known and used here beyond what has been used.

The evaluation resources of competent people, money and time are very scattered, and one of the things we need to do is concentrate them. Instead of a little bit of evaluation everywhere, we need to do enough evaluation to be timely, relevant, and valid and accurate for the big payoff items. The highest cost programs do not get proportionately concentrated evaluation now; we need to allocate in proportion to impact. We can define impact in a variety of ways -- but generally it's function of how many people are affected, how much, for how long, how intensively. We generally know that, other things equal, programs that affect lots of people have more impact than programs that affect just a few people. Programs that affect people deeply, like whether it'll save their lives or not, have more impact than those that are somewhat more aesthetic or cosmetic, etc.

Evaluations often compare programs within agencies, but rarely do they compare programs with similar goals in different departments. We have about a dozen income transfer programs, and for each of those we

have eligibility and certification processes which have never really been compared across different programs. Government income transfer programs on the average have about 100% overhead -- if FAP had gone through, of the $4 billion cost, about $2 billion of it would have been just for administering the program. A large percentage of that is for outreach and certification. All these different income transfer programs do certification differently. There's never a cross-cutting study to analyze which agencies do it best and most cost-effectively and what they can learn from each other.

So we need cross-cutting evaluations of processes and functions that are common to a great many different agencies programs. I think this is a major new role for the cross-agency missions of the Office of Management and Budget, General Accounting Office, Alice Rivlin's Office 59/ and the Congress. I don't see how this can be done completely within the departments themselves.

Evaluations are rarely scheduled inputs to budget decisions, so we advocate decision-driven program evaluations by legislation. Evaluations are often not focused on controllable policy variables, so that the evaluation results don't always help in budget decision making. By a policy variable I mean a variable you can do something about, such as the particular characteristics of a program, as opposed to a contextual variable, something you can't do anything about, such as the percentage of people under the age of 30 living in a town -- you can't easily change that. A lot of evaluation research for academic reasons tends to focus on contextual variables which are not under the control of policy

59/ The Congressional Budget Office, created pursuant to P.L. 93-344.

makers, instead of focusing on policy variables that are. These could be legislatively specified.

Evaluation sponsors and researchers rarely communicate directly with the most important consumers of evaluation. In about 20 years of evaluation research I've never had the opportunity to discuss the purpose of an evaluation with the congressional leaders or legislative assistants who are mostly concerned with the results of that evaluation -- never.

Some evaluation research is misdesigned technically. If it does employ experimental design, there is often no randomized selection of experimental and control groups, and thus one is never certain that the findings are not the results of a confounding of some external event or factor with the program that is supposed to produce those results.

There's a lack of any control groups in too many evaluation designs, so that there is no assurance of what we call internal validity, that is, the attribution of effects to the program that is being evaluated, or external validity, the generalizability of the findings. There's also often a failure to recognize and compensate for the statistical artifacts that I mentioned before, such as regression towards the mean.

There's a frequent failure to select the readily measurable measures of effectiveness, and this can be remedied by legislation to some extent suggesting these. This is a delicate point, not specifying but suggesting some of the measures of effectiveness that are of interest. I say suggest rather than specify, because again here the researchers may come up with more useful measures and may find it unproductive to be constrained to specific measures. We talked about the too broad focus

which can be corrected by legislation specifying the questions to be answered, too narrow focus which can be remedied by the enabling legislation not specifying methods but rather results desired and questions to be answered.

Too short duration. I realize I talked about some evaluations being possible within two weeks, and yet some evaluations, particularly the kind that depend on developmental changes in human beings, may require longitudinal evaluations lasting years, because people just don't change that fast. And cross-sectional evaluations, that is, the instant snapshot comparing many things at the same time, simply will not get at the change in people over time with much reliability and validity. It is possible to simulate a longitudinal study with overlapping cross sections in time, but it's always much more complex and expensive and less reliable. So if we're talking about the impact of daycare children or the impact of an educational program on life opportunity, we really ought to have the patience to wait and have sufficient duration to measure the more subtle effects.

The misdesign of instruments: usually through compression in time, a lack of pilot testing, and corrective feedback. Any commercial survey research outfit usually has time to pilot test and check its survey instruments -- this is not always possible if you insist on doing evaluation research within the annual budget cycle. Data gathering misdesign is also a problem, including inappropriate allocation to survey resources, sometimes resulting in oversampling of the least significant groups and under sampling of the most significant groups. I draw your attention here to the Watts-Conlisk design applied to the

New Jersey income maintenance experiment. This was a good piece of research, but has some limitations in this respect because most of the sampling was done of the population that was of minimum policy interest, rather than the reverse, because this particular sampling allocation model economized in this particular direction.

I think the only kind of regulation we can look for here is self regulation in the field itself. Qualitative competition among the evaluators themselves could really deter faulty work in the field. For a government policy on this, I would relate awards and fees to a consumer's report on the quality of previous work. That always raises administrative problems about who is to judge, etc. Obviously, it is not in the interest of a lot of sponsoring agencies to want this, so we cannot count on them. But I think there are some other ways besides an internal regulation.

On the overall problem of the knowledge gap, I think it is very hard to ever really appreciate the capabilities and limitations of evaluation from the outside without having done it. It is a kind of way of looking at things. I think it is unlikely that the intended users in the legislature and in the executive branch will really appreciate it until they get involved in it. How can we tempt them to get involved in it? This is a paradox, because as has been pointed out by Professor Haveman 60/ and by Senator Brock, they are not particularly eager to have their own activities and their own processes evaluated.

60/ Professor Robert H. Haveman, University of Wisconsin.

I think the next best thing is to get them to participate in some of the planning of evaluations. That gives a sense of control, a sense of power over things, and basically more sharing by the executive and the administration with the legislative branch of the actual setting up of program evaluations. It is still a sequential process now rather than an integrated process. I don't know how to do this, but I think that some of this can be done informally by the practitioners themselves.

Getting back to the legislative sponsor of the evaluation, which is often very much frowned upon by the executives in the administration, involves some risk which has to be taken here of informal contacts asking "Is this really what you want to find out?"

In summary, I'd just like to describe some particular weaknesses of evaluation that we've noticed and that I think if reduced or removed could improve the usefulness of evaluation and applicability of the work to legislation.

Some of these typical weaknesses, in no particular order, are:

Lack of randomization in the selection of experimental and control groups, biasing the findings.

Lack of any control groups, rendering the validity and generalizability of the findings completely uncertain.

Failure to recognize and compensate for statistical artifacts such as regression towards the mean.

Failure to select the readily measurable measures of effectiveness relevant to the policy issues.

Too broad a focus, and failure to limit the evaluation to program aspects that can be researched in enough depth to achieve validity within the time and effort resources available -- the "fising expedition" that generates a low signal-to-noise ratio.

Too narrow focus, with premature concentration on a few variables assumed to be significant at the cost of exclusion of potentially more significant ones.

Too short duration to allow sufficient iteration of the data gathering efforts to narrow down to the critical issues in depth.

Misdesign of questionnaires, often as a result of a lack of pilot testing that may be a result of a lack of sufficient time.

Data gathering survey misdesign, particularly the inappropriate allocation of survey resources that result in an oversampling of the most significant groups, as was the case with the attempted application of the Watts-Conlisk sampling model to the New Jersey income maintenance experiment.

Ignorance of or failure to explore relevant literature and data concerning similar programs or phenomena being evaluated -- a point often stressed by J.S. Tukey.

Failure to recognize and design around the Hawthorne effect and other types of self-fulfilling and self-selecting and de-selecting phenomena.

Voluntarism in the selection of surveyed experimental and control groups leading to biased results, as when unsuccessful programs choose not to be part of an evaluation.

Premature and inappropriate data collection efforts of perishable information that cannot subsequently be readily corrected, as in the collection of significant amounts of unanalyzable data on planned variation in the Follow-Through Experiment.

Confusion of a program inventory for a program evaluation -- the substitution of merely descriptive case studies for analysis of program effectiveness and efficiency with respect to goals and resources use.

Confusion of needs assessment for an evaluation, assuming that determination of the relevance of program design to an established set of needs constitutes an adequate evaluation.

Confusion of program outputs for impacts, as is frequently the case in school evaluations that boast of increases in average daily attendance that may or may not have any relationship to desired educational impacts such as increased life time earnings.

Contamination of program results by formative evaluation procedures that directly influence program activities as part of the evaluation processes in non-reproducible ways.

Mis-selection of program goals and subsequent criteria of effectiveness, as in cases where the program operator's goals differ from those of the sponsors and possibly those identified by the evaluators.

Some of the specific technical and managerial approaches which may help to correct these typical weaknesses of contemporary evaluation research are described below.

Lack of Randomization

The excuses most frequently given for lack of random assignment to experimental and control groups are evaluation timing, political obstacles and resource constraints. (There is still the all-too-common unexcused reason that "matching" will serve the same purpose, where it most often will not. This needs to be corrected by the further statistical education of evaluation sponsors, designers and users.)

The post-hoc timing of many evaluations render random assignment subject to the accessibility of a "natural" control group which satisfies this requirement. Since most post-hoc evaluations are concerned with treatments specifically addressed to a particular "target" population's problem, it is unlikely that such a "natural" control group that satisfies other experimental conditions can be readily identified after the treatment is already well under way. One policy for avoiding this problem is to require evaluations to be designed and executed concurrently with the programs to be evaluated.

Political obstacles to random assignment exist when a treatment is perceived as very desirable, and untreated controls perceive themselves as being discriminated against. Where "double-blind" experimental

approaches are not feasible (as in most social, as contrasted to biomedical, experiments, because of treatment detectability by laymen), some forms of side payments to compensate controls for providing information while not receiving treatment have proven effective. In operating HUD's Experimental Housing Allowance Program's Demand Experiment, for example, Abt Associates Inc. has not experienced any significant political opposition from the randomly selected controls not receiving the allowance, probably because they receive a modest payment (much less than the housing allowances) simply to compensate them for supplying control information.

Resource constraints are claimed to exist where random selection of controls is inconsistent with a high probability of obtaining statistically significant quantities of both experimentals and controls for all the variables of findings for a smaller set of variables versus less validity (or unknown validity) for a larger set. In most cases, sponsors and producers of evaluation should require that the available surveying resources be distributed to achieve valid findings for whatever set of variables can be accommodated, rather than invalid findings for a more ambitious set. Alternatively, exploratory or inventory-taking evaluations may require inclusion of all known variables but not generalizability of findings. In these latter cases, random assignment to controls, and sometimes even controls themselves, may be sacrificed for other research objectives, but the limitations of the resulting findings should be clearly understood and accepted by sponsors and evaluators at the outset.

Lack of Control Groups

The absence of a control group is often justified by lack of data gathering resources, political infeasibility, and the irrelevance of comparisons.

The first two obstacles have been discussed above. The issue of irrelevance of comparisons requires clarification. When a program's relative effectiveness and efficiency are to be evaluated, controlled comparisons are being developed, the experimental method need not apply.

Sponsors of evaluation and research must distinguish among basic research, development, test, and evaluation programs. Basic research may or may not require control groups. Development and testing rarely do, and evaluation usually does. Where the evaluation aspires to validity, generalizability, and replicability, control groups should be insisted on.

Failure to Recognize Statistical Artifacts

Most of these kinds of errors of evaluation can be avoided by advanced training in statistics and research design. A straightforward policy for assuring such competence is to require it of the technical director of all major evaluation efforts. If this is impractical, a somewhat more cumbersome but probably effective approach would be to require all evaluation research designs to be reviewed and accepted as technically sound by a group of statisticians of proven competence, institutionalized within some government agency. OMB clearance of questionnaires provides both a good and a correctable model for such an approach.

Failure to Select Readily Measurable Measures of Effectiveness Relevant to Policy Issues

This is often a problem where evaluators are more concerned with contributing to a discipline or field of knowledge then they are to the formulation of a policy or operation of a program.

The most obvious corrective approach is to conduct a decision analysis of how the policies or programs of interest will actually be decided on, before the evaluation is designed. This decision analysis should identify the relevant decision criteria and supportive information requirements, so that the evaluation research can be specified to meet those requirements.

Failure to select readily measurable measures of effectiveness is often the result of incomplete or insufficiently specific conceptualization of an evaluation research problem. For example, in an evaluation of the effectiveness of child day-care centers in meeting children's developmental needs, an incomplete conceptualization would include only children's activities in the centers, and neglect the parent-teacher-child interactions. Alternatively, an insufficiently specific conceptualization would call for measuring "all developmental activities" whatever that might mean. Priorities of data collection must be set to make sense with respect to a comprehensive conceptual model of the phenomena being evaluated, and then expressed in operationally definable terms.

Too Broad a Focus

This is generally a problem of either over-ambitiousness or under-appreciation of the costs of collecting and analyzing information

71-867 O - 76 - 22

responding to specific questions, or both. It can be corrected, like most misallocations of effort, by setting clear priorities and estimating opportunity costs for specific tasks, maximizing the accomplishment of highest priority high productivity tasks. Sponsors of evaluation sometimes contribute to the native intellectual imperialism of some evaluators by urging the evaluators to find out "a lot about a lot of things", with the likely result that little that is new or useful is found out about even a few things. This process is encouraged by competitive procurement, wherein bidders attempt to outdo each other in the technical accomplishments they promise. Within all too rough limits of credulity there are apparent rewards for promising too broad an effort at some presumably technically competent depth, and few disincentives to promising too much.

Organizationally, much could be done to reduce these incentives to over-promises of excessive breadth by: (1) sponsors specifying the required scope or breadth and faulting bidders for going far beyond it; (2) sponsors evaluating bids on the basis of the percentage of promised achievements actually realized by the bidder in completed researches; and (3) continuous and candid communication between sponsors and researchers throughout the period of contract performance concerning research priorities and the cost and tradeoffs involved in realizing them.

Note that a pro-forma monthly progress report does not often achieve the third objective. Face-to-face meetings between sponsor and researcher are needed to develop enough mutual trust and confidence for the evaluator to be able to risk admitting that the goals of the

evaluation had shifted and with the task priorities, without the researchers resorting to legalism or unresponsiveness.

Too Narrow a Focus

Partly in response to having been "burned" by the non-results of an evaluation too broadly focused, or because they think they know what the key variables are, sponsors and evaluators may insist on too narrow a focus and prematurely exclude some data and variables that might have yielded significantly different results. Truncated samples, arbitary and unexplained elimination of outliers, and ignoring of non-responding data sources are all examples.

Ideally, given sufficient time and resources, all evaluation research should be executed in at least three cycles -- the first broad and shallow to maximize the probability of capturing the critical variables, the second more narrow and with an in-depth analysis of the hypotheses generated in the first cycle, and then a number of almost-as-deep parallel analyses to check external validity and reliability.

Since this kind of iterative process is not always affordable, it may be helpful to attempt to compress the cycles to within a given evaluation, or to use analogical other efforts to simulate the first and third cycles. In any case, a thorough and broad literature search should reduce (but will not eliminate) the probability that a too narrow focus has excluded potentially significant factors.

Too Short Duration

This is sometimes the sponsor's fault in insisting on a one-year duration for contracting or budgeting convenience, and sometimes the

researchers' fault when through poor planning much of the contract time is wasted and the long lead time tasks must be compressed to a duration inimical to their successful completion.

What is needed here is some standardization of the lead times of the lengthier evaluation research tasks, such as field testing of questionnaires, data reduction and cleaning, etc. Further, there needs to be a better appreciation of both the advantages and the elapsed time requirements of longitudinal research -- classical "before and after" treatment evaluations in school settings are impractical within one year, since it is unlikely that this duration permits the necessary planning and design before baseline data gathering or the necessary data reduction and analysis time after the after-treatment data is collected.

Misdesign of Questionnaires

This or other data-gathering instruments can be corrected by pilot testing, provided there is sufficient time available. Much of the pilot testing time might be saved if standards of competence in instrument design were more strongly insisted upon by sponsors, since almost everyone believes that they can design an effective questionnaire.

There is remarkably little questionnaire research built into most evaluations, yet the results of the entire effort are usually critically dependent on the quality of these instruments. This is an activity in which there appears to be very little technique transfer between the masterful practitioners and the neophytes -- again, because neophytes believe it is easy (and it is easy to do it badly). Standardization of competent instrument design approaches and their dissemination

might help. Sponsors could raise standards by requiring evaluation researchers to submit examples of previous instrument designs, together with critiques of their strengths and weaknesses in the light of actual use.

Data Gathering Survey Misdesign

Here again, many marginal evaluators fail to be aware of or exploit the great mass of survey research and sampling methodology is quite adequate for meeting the technical demands of most evaluation researchers. The major problem is that the full competence of this sub-field of social science is rarely fully applied.

The state of the art under-utilization problem can be addressed by sponsors imposing higher standards of survey competence on the proposing evaluation researchers. Appropriate course work and experience in statistics, sampling, design, and instrumentation should be specified for survey task leaders.

For the more sophisticated survey design problems, the uncertainty concerning the optimal choices of defining factors may be partially overcome by pilot testing and/or simulation.

Ignorance of the Relevant Literature

This is correctable by effort, insistence on it and demonstration of its results.

Failure to Recognize and Design Around the Hawthorne Effect

Again, this is a matter of education of the producers and consumers of evaluation research, and the enforcement of competency standards

reflecting the best that is known concerning research design. Campbell and Stanley 61/ offer numerous methods, such as the Solomon four-group design, for dealing with this similar testing artifacts.

Voluntarism in Selection

This is often as much a policy as it is a technical issue. Sponsors wishing to avoid offending program operators may back off from insisting on evaluation of programs or sites that resist it. Sponsors may intentionally or inadvertently select sites, cases, or projects in biased ways influencing the results of evaluation.

61/ Campbell, D.T. and Stanley, J.C. Experimental and quasi-experimental designs for research on teaching. In N.L. Gage, ed. Handbook of research on teaching. Chicago, Rand McNally, 1963. (Reprinted as Experimental and quasi-experimental design of research. Chicago, Illinois, Rand McNally, 1966.)

"EVALUATING EDUCATION PROGRAMS---ARE WE GETTING ANYWHERE?"
JOHN W. EVANS, OFFICE OF EDUCATION *

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Evaluating Education Programs—Are We Getting Anywhere?[1]

JOHN W. EVANS
U.S. Office of Education

Now seems to be a time when basic reassessments are in order; so it is only appropriate for those of us concerned with educational evaluation to take stock of our own endeavors and ask whether we are really getting anywhere in our efforts to assess the effectiveness of educational programs, or whether all the current talk and frenetic activity is much ado about nothing. The answer to this question is by no means obvious, even though it is the kind of rhetorical question that papers like this typically answer with rosy if vague and overqualified bromides. I'm going to hedge and qualify too, but my basic conclusion is that we are getting somewhere. I believe important progress has been made in recent years in educational evaluation in a variety of ways which I intend to specify, but the educational evaluation scene is not an untroubled one. Far from it: there are serious new problems that threaten the progress that has been made, and I intend to talk about those also.

A Brief Look at History

We can begin with some simple and chastening assertions. First, the history of significant evaluations of educational programs is brief and thin. In this respect educational evaluation is of a piece with the evaluation of social action programs generally. If we look back over the history of Federal efforts in the social program area, even back into the period of the New Deal and on up through the Great Society programs of the sixties, we are forced to acknowledge that virtually all the original decisions by the Congress and the Executive Branch of the Federal government to initiate programs in the areas of education, manpower and poverty, and the later decisions to continue, expand, or terminate these programs, were taken with scarcely any knowledge of the size, character, and location of the problems, or the likely effectiveness of proposed programs to remedy them. Once instituted, such programs were only rarely subjected to rigorous objective evaluation.

Second, failure to evaluate education programs is a shortcoming not limited to the Federal Government. States and localities, which supply 95% of the funds for public education, have done little to evaluate the effectiveness of their school systems and educational approaches.

Third, with a few notable exceptions, academic social scientists, traditionally accustomed to the research style of the individual scholarly grant, have been largely preoccupied with disciplinary issues and basic research, rather than with actual evaluations of ongoing educational programs.

Such have been our efforts to formally evaluate most of our national education and other domestic programs. Yet, in less than ten years we have gone from a dearth of evaluation activity to a situation where evaluation is now all the rage. Even though the number of professional association meetings currently being devpted to evaluation are exaggerated indicators of the amount of useful, policy relevant evaluation now going on, there is no doubt that the change has been real and substantial.

What has accounted for this relatively sudden upsurge, and does it amount to real progress—progress in conducting sound evaluations and making them part of the policy process? There is no simple answer to this question, but from my vantage point there seem to be several important factors which have accounted for the increased concern.

First, there is the long-run, cumulative effect of the presence and force of social science in our society. Social scientists have long been chiding administrators, policy makers, and Congressmen to rely less on subjective and political reasons for making decisions, allocating resources, and developing programs, and instead to make more use of the research methods and findings of social science. These entreaties have often turned out to be more rhetorical than substantive once the challenge was taken up. But they have not gone without effect on the policymakers, who have been made to feel increasingly guilty about not formulating policy and making decisions in a more rational way.

Second, there has been a gradual transformation in the intellectual make-up of the kind of people who have found themselves in both appointed and elected offices. While it remains true that raw, unreasoned, political interest still is the main factor in many decisions made by both the Executive and Legislative branches of the Federal Government, it is also true that the last 10 to 20 years have seen a significant increase in the number of people in such positions who want to attack a

problem by asking about the scope of its dimensions and the effectiveness of available methods of treating it—that is, people who want to try to rationalize the policy process.

Certainly another important factor in accounting for the upsurge of concern with evaluation at the Federal level was the implementation of the Program Planning and Budgeting System (PPBS). This approach to analyzing and making decisions about program budget levels is a radical departure from the traditional incremental approach. It turns the focus away from the standard administrative budget categories toward the objectives, methods, and outcomes of programs. Such a shift automatically brought the need for data on program effectiveness to the fore.

Finally, there is the accountability movement in education. It is hard to know whether this movement is a cause, an effect, or merely an indicator of the increased interest in evaluation. In any case, once present, it has become a force in its own right.

But what have all these changes in analytical approach and expressed concern amounted to beyond heating up the atmosphere and expanding the rhetoric? What have they resulted in that allows one to conclude that some actual progress in educational evaluation is being made? To answer these questions let us look at three aspects of the evaluation process: first, the in-puts and resources; second, the methodology; and third, actual evaluation studies and their results.

Some Indicators of Progress

Resources for Evaluation and the Avenues of Impact

There have been major increases in the wherewithal required for evaluations to get done, and important improvements in the organizational location of the evaluation function in the Federal Government's decision-making apparatus. As the larger social changes I noted earlier have heightened concern with evaluation generally, the Congress has tired of listening to requests for increased appropriations based on anecdotes and testimonials, and has increasingly demanded that Executive branch agencies produce data on the effectiveness of their programs. For its part, the Congress has substantially increased funds and personnel to the domestic agencies for evaluation. In 1965, the Departments of Labor and HEW had available less than $5.0 million for program evaluation. By 1974 this figure had increased more than tenfold to more than $50.0 million.

There have been equally important changes in the organizational location of the evaluation function. As those of us who have worked in program agencies can testify, one of the indispensable prerequisites if evaluation is to impact on decisions is that it must be an integral part of top management's decision-making structure. Yet, evaluation, like research, has often been buried in the bowels of program agencies and not only has received the leftovers in fiscal and personnel resources but also has had little opportunity to make a meaningful input into the policy process. Even this is now changing. Most of the major Federal agencies now have an Assistant Secretary for Planning and Evaluation or its equivalent, and the shoe is now on the other foot. Instead of having to plead for more money and people and the chance to participate in the decision-making process, evaluation specialists are now under pressure to produce and to justify their claims of utility and relevance. As many of us have found out, demanding our place in the sun is a lot easier than justifying it.

Perhaps the most important thing to come out of all these resource increases and organizational changes is that the basic dialogue of management has begun to change from considerations of how big a program's budget should be and of the constituency pressures for its continuation, to considerations of objective evidence of performance and indicators of program effectiveness.

The Use of More Sophisticated Methodology in Evaluation

I want to touch briefly on two important methodological advances. The first is the appearance of efforts in large scale national evaluations to use the classic model of experimental design with randomized treatment and control groups.

Since virtually all education programs have their committed advocates and strong detractors, and are in this sense inherently controversial, it is inevitable that evaluations of them will also be controversial. Any evaluation that finds a program successful will be attacked by the program's detractors, and any evaluation that finds the program unsuccessful will be denounced by its advocates. As Rossi (1972) has put it, "No good evaluation goes unpunished." In such cases, the controversy will not be waged directly over what is truly at stake, namely the disagreeableness of the findings, but instead will take the form of an attack on the validity of the evaluation's methodology. Acrimonious debates will rage through the daily press and the professional journals over sample size inadequacies, non-representativeness, culture-biased measurement instruments, failures to meet the assumptions of parametric statistical models, and the like. Since no evaluation can be flawless, especially those carried out in the real world of classrooms and communities, evaluation specialists will never escape these post-evaluation debates—nor, indeed, should they. But to increase the justification for using formal empirical evaluations as a basis for policy decisions, it is important that each evaluation be as methodologically strong as possible.

The major weakness in most evaluation designs relates to the use of control groups. The feature of education evaluations that has proven most vulnerable to both well-motivated and not-so-well-motivated attack is the comparability between treatment and control groups. Once evaluations move beyond the primitive efforts to conduct site visits or simply collect data on a before-after basis, the evaluator and the design he employs must confront the fundamental problem of providing some estimate of what would have happened in the absence of the program he is evaluating. There are, of course, a variety of ways to deal with this problem, which include comparison with national norms, comparison with previous years' scores, the use of a matched com-

parison group, etc. But the effects of education programs are seldom dramatic, and the small differences they are likely to make can easily be either overestimated or missed entirely by comparing the treatment group with a non-comparable group. The only truly satisfactory way of dealing with this problem, of course, is through randomly assigned treatment and control groups. Campbell (1969) has written eloquently and extensively on this issue, urging that educational and other kinds of programs be structured at the outset to allow this kind of evaluation design. He and I have debated the question of how acceptable evaluations are which fall short of this standard (Campbell & Erlebacher; Evans & Schiller, 1970). My view is that there will be many instances where this obviously stronger design is not feasible, and that rather than throw up our hands and withdraw from the arena because we cannot have random assignment, we must carry out whatever kind of evaluation is feasible and useful within the time constraints of the policy process and make the best use of it we can. It is my experience that even fairly primitive designs are likely to provide better data for decision-making than the subjective impressions and partisan arguments normally used. My point here is simply that while we must be willing to do what we can to improve the decision-making process, I nevertheless agree with Campbell that we should certainly strive to use the superior method of randomized experimental design whenever we can. And I would report that the Evaluation Unit at the Office of Education has been able to mount two such randomized design evaluations of the Emergency School Assistance Program in the last two years. One is completed and the other is still in process. In a forthcoming paper in which he analyzes efforts to introduce and assess innovations across a broad variety of fields from medicine to education, Mosteller notes that this is apparently the first time in education in which a major evaluation was carried out using this type of design.

The other methodological advance I want to comment on is the emergence of experimentation as a precursor to the full fledged introduction of major new programs. This could be one of the most important developments in our time if it takes hold and is actually used — and those are two big *ifs*.

To understand what social or educational experimentation entails and how it may be of great value in developing educational policies and programs, it may be helpful to look at what has happened in the field of compensatory education. In the early sixties the country belatedly recognized the existence of the disadvantaged child. It was acknowledged that about a fifth of our children arrive at the first grade with educational deficits that are measurable even at that time; that as they progress through school the achievement gap between them and their middle class peers widens; that a great many do not learn to read, write, or calculate adequately; that they drop out of school in large numbers; and that as a consequence of these deficits in basic skills and credentials they are unable to pursue postsecondary education or to form either a lasting or satisfying attachment to the labor market. What is worse, these educational disadvantages are passed on culturally to their children, and a significant portion of the society's population is caught up in a cycle of intergenerational poverty.

Once these problems were recognized, the sense of political urgency was irresistable, and the country rushed to pass major legislation and initiate, among other things, major early childhood compensatory education programs. In this atmosphere of rushing to solve the problem, only the faintest of voices were heard asking the unaskable questions: Did we really know what we were doing? Did we really have effective program models and techniques which could remediate the educational deficits of these children?

The evaluations that have since been carried out on these national programs, principally Head Start and Title I (e.g., Westinghouse, 1969; and Wargo, 1972), indicate that we did not know what we were doing. While our ideology was laudable and our motivations pure, our programmatic know-how was skimpy.

The problem is that once large national programs are put into place, the political force of their authorship and the pressure from their constituencies for continued funding make it almost impossible to even acknowledge publicly that they may not be effective, much less attempt to alter them in some fundamental way to make them so. This is where a strategy of experimentation can be of great value. After there is broad recognition of a major educational or social problem, if we can force ourselves to recognize that we may not know how to solve it, and if instead of going directly to a massive national program, we will initiate a controlled experiment in which we develop and test the relative effectiveness of alternative programmatic techniques, we can reap a number of benefits. First, if the results of that experiment show that we have not yet achieved effective program models and techniques, it is politically possible to admit this and go back to the drawing board to develop them. Moreover, we can take considerable satisfaction in the knowledge that we are not committed to the continued expenditure of large resources on efforts we know to be ineffective. On the other hand, if the experiment is successful, we can go forward with a large national service program reasonably confident that the massive resources we will be devoting to the problem will have a good chance of actually making a dent in it.

The logic of using experimentation as a precursor to national program implementation may seem compelling enough, but the rush to adopt this strategy has not exactly been a stampede. Analyzing this situation, Timpane (1970) has made a series of observations on the potential of social experimentation which I have jokingly called "Timpane's law." His conclusion is that if there is enough interest in some problem to support a major social experiment, then the interest will be so great that no one will be willing to wait for the conclusion of the experiment before passing legislation

to implement a national program. On the other hand, if there is not broad concern over the problem, then there won't be enough interest in Congress to support the funding of an experiment on it. Either way there is no experiment.

There is truth as well as humor in Timpane's law, but some significant efforts at experimentation in education are nevertheless occurring, and we should not overlook their importance both as early prototypes of what could become a fundamentally new way of approaching the development and initiation of education programs, and for the contribution they have made to the particular educational issues they address. I would cite two such efforts. The first is the Follow Through program and the second is the OEO experiment on Performance Contracting.

Follow Through was originally intended to be a follow-up service program to reinforce whatever gains were made in Head Start; but by the time its first appropriation in 1968 had passed through the various budget cutting phases, the initial request of $120 million had been reduced to $15 million. Realizing that it made no sense to mount a service program that would address only one percent of the target population, the program staff shifted the focus away from service delivery to the development and evaluation of alternative compensatory education models. This effort at educational experimentation has been plagued by staff shortages, administrative difficulties, and continued unclarity over what Follow Through's true mission is and how it should be carried out. Nonetheless, despite these problems, some evaluation findings are now beginning to emerge that are precisely the kinds of outcomes we would expect from a planned variation experiment. Some of the program models are showing the ability to produce cognitive and affective gains that are larger than those we have seen in most compensatory education programs. Other models are producing gains that are just about what one would expect from the normal school experience, while still others are apparently so ineffective that the children in the control group are educationally better off than those in the model programs. If these findings hold up in the subsequent waves of the longitudinal evaluation, we should have a much better basis on which to proceed programmatically in the area of early childhood compensatory education.

The OE experiment on Performance Contracting grew out of the kind of situation which should call for an experiment. About four years ago a number of educational technology firms were promoting the ability of their techniques to produce large gains in reading and math among disadvantaged children. Interest in performance contracts began to sweep through public school systems with large populations of educationally disadvantaged children. The attraction to performance contracting was based on a number of factors. It was at this time that the disillusionment about public education that flowed from the Coleman and later analyses was approaching its peak. The siren of performance contracting was especially seductive at this time because it said: "Not only is it possible to remediate the deficits of disadvantaged children, but we have the techniques to do it, we are ready to come into your schools and implement it, it is no more expensive than your present per pupil expenditure, and we will sign a binding contract with you which says that if we don't produce significant, independently measured gains in reading and math, you don't have to pay us." Small wonder that these blandishments triggered a rush to the performance contractor's door.

But there were also strident critics of performance contracting, mainly the teachers' unions, who argued that performance contracting was an illusory panacea and that it would dehumanize the learning process. Depending on who won the argument—that is, who shouted the loudest—it seemed that performance contracting was destined to be either prematurely buried or unjustifiably expanded into a national movement.

Noting that these unfounded claims and counter charges were precisely the circumstances that call for an experiment, the evaluation staff at OEO designed and carried out such an effort, underwriting and independently evaluating seven different performance contracting firms. The results of the evaluation showed that none of the performance contract models was able to produce reading and math gains significantly better than the results achieved through the regular public school methods. It is hard to predict what the outcome of the debate would have been had the experiment not been done.

Studies and Results

Given that educational evaluation has shown progress in the funding support it has attracted, in the sheer amount of evaluation activity that is going on, in the organizational position that evaluators hold in government agencies, in the demand for evaluation results by the Congress, and in the use of more sophisticated designs in the conduct of evaluations, what has actually been done by way of major evaluation studies that have important policy implications? It is the completion of such actual studies, after all, that is the outcome measure for evaluating evaluation.

First, there is the Coleman Report itself which, while it does not evaluate a specific education program, nevertheless is fundamentally an evaluative analysis assessing the effects of what had traditionally been regarded as some of the most important independent variables in the educational process. Notwithstanding the continuing debates over its methodological shortcomings, few would deny that it is a landmark study which has caused educational theorists to reassess their fundamental beliefs and strategies, and legislators to reexamine their unquestioned faith in educational programs and appropriations.

Second, the OEO evaluation of Head Start, usually referred to as the Westinghouse Report, which was also the subject of intensive methodological scrutiny and debate, is one of a number of studies of early childhood compensatory education programs which shook us out of our complacent belief that popular, well motivated programs are necessarily effective in remediating

the educational deficits of poor kids.

Third, an evaluation of the Emergency School Assistance Program found that this moderately funded and locally generated collection of projects was able to significantly increase the achievement levels of black male teenagers, and thus, by indicating that compensatory education in the public schools is possible, was a welcome contradiction to the largely negative findings of so many of the earlier studies.

Fourth, and in the same vein, an early evaluation of the Upward Bound program found that this program was effective in persuading low income high school youngsters to attend college, in keeping them there, and in graduating them at a rate which made the program cost-beneficial.

I have already mentioned the major evaluations of the Follow Through Program and Performance Contracting. I don't wish to extend this list indefinitely, mainly because I couldn't if I wanted to. But I do want to make the point that if we ask whether all the hoopla of educational evaluation has amounted to anything more than increases in funds, data gathering, and professional meetings, the answer is "yes." There is far less on the production ledger of educational evaluation than there should be, but indications of important progress are by no means lacking.

A Look at the Future: Prospects and Problems

This recitation of progress makes things sound much better than they are. To be sure, the progress is real; but in the last few years a number of new problems have arisen that must be solved if the use of evaluation in the policy process is to progress beyond its present promising but inchoate state. I call them new problems because it is important to distinguish them from the kind of problems we would have listed ten years ago. The review I have made so far should make it clear that educational evaluators can no longer complain that they do not have enough money or people, or that they are not taken seriously by policymakers and legislators. Moreover, I do not agree with those who argue that methodological inadequacies of one sort or another present a major obstacle to the full flowering of educational evaluation as a policy instrument. It is not uncommon for social scientists to display handwringing despair over their primitive methods and insensitive measuring instruments, and to plead that an Einsteinian breakthrough in the social sciences is needed to put things right. My own view is that we have a long way to go in making full use of the techniques we now have before we are in a position to complain about inadequate methods.

The newer problems education evaluators face are of a different order:

1. As educational research and evaluation have proliferated, the people and institutions who are the objects of these studies have come under an increasing data collection burden—and are increasingly expressing their resistance to it. It is no longer possible to assemble a battery of interview schedules and questionnaires and invade the schools. Extensive prior clearance and review are now required almost everywhere, and outright refusal to participate in studies is not uncommon. The research and evaluation community is going to have to work out some collective way of dealing with this problem, for it is a real one. By the time school systems total up all the data collection requirements from Federal, State, local, and private sources, the burden often is a crushing one.

2. Evaluation studies that involve collecting data on adults are encountering increasing resistance at the interviewee level, particularly among minorities and the poor where it is now not uncommon for respondents to insist that they be paid for their time.

3. The increased sensitivity to evaluation studies—both what they seek to find out and the amount of data they propose to collect—is resulting in a strangling growth of reviews, clearances, and advisory bodies. The problem these multiple involvements and clearances pose for the evaluator are so great they threaten to prevent many evaluations from being carried out at all.

4. As protests over evaluations arise, ostensibly over the type and amount of data to be collected, there is likely to be an increased politicization of these protests and their use as weapons in broader disputes between local and Federal levels of government.

5. As evaluation activity and policymakers' interest in it have grown, there has also been an increased awareness at the program level that it is necessary to start taking evaluations seriously. This has had the unfortunate effect on some program officers and school administrators of increasing their unwillingness to participate in evaluation studies for fear of what will happen to their programs if the evaluation produces negative findings.

6. Evaluations are increasingly encountering unrealistic expectations on the part of policymakers and legislators with respect to both the speed with which evaluations should be mounted and completed, and the simplicity of the answers which are desired. A demand for evaluation has been created, and it is an increasingly insistent one. Policymakers are beginning to display an irritated impatience with the elaborate trappings of careful design, longitudinal studies, and complex multivariate findings. They want to know whether or not a program is any good and they want to know it yesterday. As unrealistic as these expectations are, evaluators themselves probably must bear some of the blame for them. In their early zeal to have the virtues of evaluation recognized and used, evaluators were almost certainly guilty of overpromising.

This problem has already passed the stage of irritated impatience. Last year, the Congress cut the Office of Education's evaluation budget in half and made large reductions in its statistics budget and in NIE's research funds.

7. We are certain to see a lot more public debate of the kind I noted earlier over the validity of evaluation methods and results. An increasingly important and time consuming task for evaluators will be defending the evaluations they carry out and their suitability as a basis for policy decisions. An unfor-

tunate by-product of such debates is the impression created among both policy-makers and the public that the mere fact such a debate is occurring means the evaluation must *ipso facto* be faulty and therefore should be put aside. It is ironic that after a large scale formal evaluation has been put aside because of technical questions raised about its methodology, policymakers and program officials then return to the old and familiar methods of making the decision or formulating the policy—methods that are highly partisan and subjective in nature.

The seriousness of these problems should not be underestimated merely because they are technical and procedural in character. Perhaps we can take some solace, however, in the realization that these are the problems of impact and success rather than the problems of neglect and disregard.

The fact that such problems are being encountered is an indication of how far evaluation has come in the last decade. Educational evaluation has gone from not being taken seriously to being expected to produce. It has gone from a condition of no funds, people, or influence to one of being held accountable for producing valid and useful studies. It has gone from not having enough money to do evaluations to the technical and political problems of carrying them out. Some evaluators who have struggled so hard to bring about these changes are now wistfully wondering whether they wouldn't just as soon have their old problems back. As Oscar Wilde observed, there are two particularly dissatisfying things in life:the first is not getting what you want; the second is getting it.

In sum, while I do not agree with the cynical view which holds that educational evaluation is largely a waste of time because its methods are too weak, because it will be forever unsupported, or because important policies and decisions will be made in spite of evaluation findings, and while I believe that important progress has been made in educational evaluation during the past decade, I nevertheless believe that educational evaluation now faces a new array of problems that are possibly more serious than the basic ones of getting the necessary resources to do evaluations. These new problems are a strange mixture of logistics and politics, and they are in large part an outgorwth of the increasing pluralism of American society. If they are not dealt with, evaluation will not succeed in making more than an occasional or marginal impact on educational policies and programs. If they can be solved, the general trend, which has only recently been established, can be continued; and the wider use of evaluation can make a major contribution to the setting of national educational policies, to the development of education programs, and to the allocation of scarce educational resources.

Note

[1]Invitational address presented at the Annual Meeting of the American Educational Research Association, Chicago, April 18, 1974. These remarks focus mainly on Federal evaluation programs, but they also apply to state and local evaluation efforts.

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DISCUSSION

Several methodological and organizational issues were raised following Dr. Evans' presentation. Like other speakers, he said that effective use of evaluation information requires that the research be sponsored by an office located strategically to influence the agency's planning and budgeting processes. It is important for methodological expertise to be built into the agency. However agencies should have staff capable of overseeing the methodological rigor of the study, and not leave this responsibility to extramural researchers.

Questions were raised about the Office of Education's use of sole source contracting for evaluation research. Dr. Evans said that this practice has been discontinued and now the agency uses only competitive bidding to procure evaluation research.

Like other speakers, Dr. Evans noted that evaluation is often hampered by the absence of precise legislative goal statements. This situation is being improved since agency staff have begun to establish better working relationships with committee staff to get a better idea of intended program goals.

"EVALUATING EVALUATION: A CONGRESSIONAL PERSPECTIVE," ALLEN SCHICK, CONGRESSIONAL RESEARCH SERVICE

As the concluding speaker at this CRS-sponsored seminar on program evaluation for Congress, I have the enviable task of evaluating evaluation. During the sessions of this seminar, we have been told why evaluation is a good thing and what Congress is doing to get more of it. We have been told that the executive branch is on its own evaluation trip and that there are new and sophisticated techniques for assessing the costs and effectiveness of Government programs. Everything seems to be in GO condition for a great leap forward for the evaluation business.

But a bit of history should caution us that things might not be so easy. Although the Legislative Reorganization Act of 1946 canonized "continuous watchfulness" as the duty of all congressional committees, legislative oversight still is not practiced in a regular or comprehensive fashion. Thirty years after the 1946 act, the promise of legislative oversight is far from realization and one cannot be sure that the impetus of the 1974 Congressional Budget Act and the House Committee Amendments will suffice to overcome the lack of persistent, indigeneous incentives for evaluation.

There must be a reason why evaluation is so wanted and so unattained. My own hunch is that not having had to do with the wanting, that program evaluation is coveted because there is so little of it. The prize has become more valued as the stakes have escalated and as disappointments with program results have increased. Thus, within the space of 30 years, Federal expenditures will have climbed tenfol

from approximately $35 billion after World War II to the $350 billion plus projected for the bicentennial fiscal year.

The Executive Is a Not So Evaluating Branch

Self-evaluating organizations are administrative freaks and they rarely rank among the more successful or durable executive agencies. From time to time, organizations invest in stocktaking and retrospection, but these tend to be mere pauses in the striving for security and growth. The exceptions shed some light on the normal impulse of self-promotion. During the sad decade of its short life, the Office of Economic Opportunity (OEO) excelled in its sponsorship and utilization of program evaluations, even to the extent of terminating some of its most promising initiatives when they proved to be ineffective. In OEO, evaluation came to be a substitute for action, a manner of existence appropriate for a mendicant rather than an affluent organization. Lacking sufficient resources to underwrite regular operating programs, OEO applied its meager resources to small-scale experiments and pilot tests in a futile effort to stimulate social innovation. However, well-funded agencies tend to move into action before they have evaluative confirmation of the worthwhileness of their program innovations, and they continue what they are doing even if the results are unfavorable.

There are a number of reasons why agencies do not regularly evaluate their own performance.

(1) The Budget Problem. The annual budget process would seem to offer a hospitable opportunity for assessing results and applying them to next year's money decisions. On paper at least, each year an agency

has to be born anew and its course can be redirected by budgetary choices. Yet the straight fact is that budgeting is ill-suited for an evaluation role and that in many environments evaluation might have a better chance if it is separated from the routines of budgeting.

Agencies are not neutrals in the recurring budgetary wars; they are budget maximizers. The language of budgeting is geared to advocacy and justification, not to the objective search for truth. Rather than face a life or death situation every year, agencies confront the budget with expectations of incremental--or better--growth and with confidence that their established level of activities and funding is secure. Because they almost always receive at least as much money as they were given for the previous year, agencies have a weak incentive to review what they have been and to seek more useful activities. In the context of the annual budget struggle, a truly objective evaluation can injure an agency's budget position by inviting outsiders (such as Congress) to reduce appropriations below previously fixed levels. If an agency deploys its evaluations to substitute new for existing programs, it runs the risk of losing its existing programs without getting the new ones. A case in point is the current effort by the Secretary of Defense to utilize savings from reductions in headquarters overhead for additional Army divisions. If Congress decides to convert the savings into fewer military dollars rather than more firepower, it will be difficult for the Defense Department to sustain this evaluation effort.

71-867 O - 74 - 23

The pace of budgeting discourages the application of evaluative findings. Budgeting is among the most routine of administrative processes, responding with cyclical regularity to timetables and deadlines. It is not easy to cram evaluation into this fixed schedule of events.

(2) Evaluation is an Unpleasant Task. Evaluation is not the most effective way to make friends and influence people within your own organization. An evaluator quickly becomes an outsider within his own organization, one whose views and loyalty are suspect. There is good reason why evaluators are guaranteed in "inspector general" units and why the chief auditor of the United States is graced with a 15-year term. With normal participation in organization activities, the prospect is that an evaluator will be quickly seduced by the ethic and striving of the organization. It is not so much a matter of a person tolerating inefficient or unproductive work; rather, most people tend to embrace the identities and objectives set by their organizations.

(3) An Organization is a Captive of its Clients. Once a program is established and benefiting its clients, an agency cannot easily redirect its efforts. With their particular view of a program's benefits, the clients may have a different assessment than one emerging from more objective criteria of costs and benefits. There is an understandable tendency for beneficiaries to believe that what's good for them is good for the U.S.A. Even comparatively new programs quickly fall prey to capture by their clients, for once a program is underway, the benefits are "vested" in their recipients and hard to terminate. This is one of the reasons why persons interested in

program evaluation tend to concentrate on pilot tests and experiments prior to full operationalization of the program.

(4) Evaluation is a Difficult Task. Although there have been significant recent advances in evaluation methodology--for example, in the construction of samples and control groups--the routinization of evaluation remains a distant possibility. Part of the problem is that evaluative data are difficult and costly to secure; they are not ordinarily generated as a matter of organizational routine. Unlike conventional management information which relates to the internal operations of the agency, evaluative data frequently deal with what is happening outside the organization, and, hence, it takes a special effort--such as a survey or experimental activities--to produce the wanted data. For example, a well-run health organization is likely to possess a great deal of workload data such as patient-staff ratios, per patient costs, and number of meals served, but it is not as likely to be informed about the morbidity and mortality rates of the population it serves.

Even when data have been secured, their interpretation poses numerous difficulties. Rarely are the findings so unambiguous as to permit only one interpretation. More commonly the data are open to various interpretations, depending on the assumptions that are used and the objectives against which the results are measured. As the famous Head Start evaluations demonstrated, even a costly evaluation is vulnerable to methodological attack by persons who refuse to accept the official interpretations. A decade later, scholars and practitioners alike still are warring over the soundness and policy implications of the Coleman report.

(5) Fear of Not Flying. I have a feeling that organizations would be more receptive to evaluations if they proved the worthwhileness of the established programs. Evaluation in the service of program advocacy would be an effective tool for agencies seeking higher budgets and support for their preferred programs. Yet many of the evaluations undertaken during the past decade have cast serious doubts on the cost-effectiveness of major domestic programs. For every evaluation that highlights program success, there are handfuls which pronounce failure or uncertain results. This has been the sad fate of many of the housing and education innovations launched so enthusiastically in the 1960's. The market for evaluation dries up when evaluation becomes an anti-organization weapon.

Worse yet, evaluation has been concentrated on program innovations rather than on long established activities. Thus, Title I ESEA has been evaluated in dozens of communities from dozens of perspectives while the basic education programs which claim tens of billions of dollars have escaped serious scrutiny. This means that the most venturesome, riskiest, activities are evaluated while, safe and perhaps unproductive programs are not subjected to the same tests. Strangulation by evaluation has been the dismal fate of many of the exciting education innovations of recent years such as performance contracting and school vouchers. If evaluation is to succeed, it must be applied to old and new programs and must not be deployed as a weapon against program change. An anti-innovation bias was inherent in the congressional budget reform bill formulated in 1973 by the Senate Government Operations Committee. As reported, new programs could not be implemented until they had undergone

mandatory pilot testing and evaluation. This bias was removed in later versions of the legislation.

When an agency wants a new program, it might try to disregard or discredit an adverse evaluation. Such was the case in the early 1970's when the Defense Department promulgated a "fly before you buy" policy for major weapons procurement. But shortly after a prototype F-14 crashed, the Navy rushed to order a substantial number of the new planes.

(6) Inadequate Congressional Demand for Evaluation. In view of the powerful disincentives within executive agencies, the pressure for evaluation must come--if at all--from outside sources. Yet the weak agency commitment to evaluation is reinforced by lack of congressional interest. Congress rarely insists that agencies systematically monitor their own performance and report the findings at hearings or other legislative forums. At least two explanations may be offered for congressional disinterest: first, committees may function as program advocates as much as program overseers; second Congress tends to be more oriented to prospective legislation than to past enactments.

Authorizing committees may become advocates for the agencies and programs they are charged to oversee. Sometimes this is due to the "capture" of the committee by the agency, a process which is fomented by close and continuing contact between agency and committee staffs and by the understandable inclination of congressmen to identify with the missions and activities of the agencies under their purview. Still another factor is that the authorizing role often casts the committee in an adversary relationship, vis a vis

the appropriations committees with the result that the authorizers feel impelled to support the agencies under their jurisdiction.

As a legislating institution, Congress tends to rate its success and effectiveness in terms of the bills it passes rather than in terms of agency fidelity to earlier legislation. Congress is oriented to the future, not to the past, so that there is a chronic neglect of its oversight role.

The Role of Congress

Yet oversight is not a new role for Congress but one fully in accord with its generic purpose as a check on executive authority. With the growth of big Government, and in particular big bureaucracy, the importance of this role is greater than ever before. Inadequate attention to oversight cannot be blamed on inadequate staffing, though there surely remain critical staff shortages in certain areas. The evidence, however, is that the enlargement of staff and other resources during the past decade has not yet produced a breakthrough with regard to oversight by Congress. In comparing congressional capability versus practice, one is reminded of the epitaph on the tombstone of an athiest, "All dressed up and nowhere to go." If Congress is on the brink of a revised interest in legislative oversight, part of the reason is that for the first time it is tooled up to perform this role in an effective manner.

Some of the recent steps to bolster the oversight function have been mentioned by earlier speakers and these include the designation of oversight subcommittees in the House, expansion of GAO's role in program evaluation, and the new congressional budget process. None

of these laudable moves ensures the success of legislative oversight, but they at least remove some of the impediments to this role.

It should be noted that I have been using the term "program oversight" in referring to executive branch activities and "legislative oversight" when referring to Congress. This distinction is predicated on a division of labor between the two branches, with executive agencies carrying the brunt of evaluation efforts and Congress overseeing agency performance. There is not much sense in trying to make Congress into an evaluating institution, though on occasion Congress may perform this function. Evaluation should not be a sometime activity, conducted according to the inevitable spasms of legislative interest, but a regular part of administrative implementation of congressionally-authorized programs. The appropriate role of Congress is to monitor performance and to prod agencies to evaluate their own activities. Today a 1946 "continuous watchfulness" remains the essence of legislative oversight. Perhaps the biggest payoff from a more independent and vigorous oversight role would be to stimulate more and better evaluations by executive agencies. Consequently, in the concluding portion of my talk, I will identify some ways in which Congress can goad agencies to perform useful evaluations.

(1) Identification of Objectives. Despite all the emphasis on early legislative specification of objectives and intent, there is a limit as to how much precision and clarity can be achieved in complicated and controversial legislation. Legislators often are provoked by a sense of a problem, not by some firm objective. They perceive something awry, are moved to legislative's remedy, but do not have a precise notion of what the future should be, except that

they want the problem eliminated. When legislation is controversial and objectives clash, there is a tendency to paper over differences by being vague about purposes and intent. Thus, parties with differing objectives are able to subscribe to the same legislative package.

When Congress muddles through without a clear specification of purpose, the process of evaluation is not aborted. Rather, it must begin with executive implementation rather than with textbook clarity about objectives. Congress, in fact, has two legitimate tasks to get the Executive to produce relevant evaluations. First, Congress can write into law a mandate for the agency to evaluate its program; second, Congress can demand that the evaluative measures used by the agency reflect congressional interest and perspectives, not merely the orientation of the implementing agency. Statutory set asides of funds for evaluation do not suffice to establish an adequate evaluation procedure. What is required is the prescription in law of a process that agencies must adhere to in evaluating their activities, including milestones for the crucial events in the process, and a reporting schedule.

(2) Keep Evaluations Honest. If self-evaluation is difficult, one should not be surprised by the encroachment of organizational bias into even sophisticated evaluations. One form of bias arises out of the self-protection practiced by agencies to avert unfavorable findings. The best antidote for this kind of mischief is to "let it all hang out," assumptions and all, so that the judicious reader can determine the validity of the results. A more formidable kind of bias arises out of differing executive and legislative perspectives, in particular the holistic viewpoint of administrators versus the specific interests of

congressmen. Congress might be more concerned about the distributional effects of a program--who gets what--than about the impact on net national welfare. However, congressional interest in program impact on specific target groups might not be reflected in the design of an evaluation unless there is adequate legislative input at the start. One of the functions of the new oversight subcommittees, therefore, might be to examine prospective evaluations to gauge their sensitivity to the distribution of costs and benefits among various groups.

(3) Expand the Time Framework. The time perspective of most evaluations is notoriously short and there is real danger that the pace of legislative politics might induce agencies to work with even narrower time spans. Typically, an education experiment is tested during the ten months of the school year and if results are not forthcoming, the experiment is terminated. The demand is for quick results, to overcome within a few months the handicaps of years and generations. It is not surprising that so many evaluations show failure for programs inaugurated with promise and fanfare only months earlier.

Patience is very much in short supply in program evaluation, not only because longitudinal studies are costly and difficult to engineer but also because administrators and legislators have a "now" orientation and are unwilling to forego immediate gain in the quest for future improvement.

At the present time, the technology of social evaluation is far more advanced than our understanding of basic social processes. We are bewildered when some Title I evaluations show success while others point only to failure, as if there were random or unknown factors at work. The real problem is that we have been willing to invest in

social experimentation but not in social understanding. At this juncture, it might be wiser to commission long-term studies than to finance more quickie research. But unless Congress is willing to tolerate the long view, agencies will continue to engage in LIFO-type evaluations, with the last program started, the first one terminated.

(4) Make Them Readable. Many of the recent methodological gains in the state of the art have contributed to an escalation in the complexity and obscurantism of evaluations. Perhaps the most difficult task in evaluation is to translate quality research into readable policy analysis. The analyst often is insensitive to the importance of this task or incapable of escaping the constraints of his adopted language, but Congress need not suffer incomprehension gladly. Congress should insist that the fruits of evaluation be communicated in a straightforward and understandable way, that jargon and sophistry not be made into barriers to sound public policy. A side benefit might be to expose faulty assumptions, inadequate data, and questionable interpretations. When an evaluation is chock full of mumble jumble, the advantage is all on the side of the analyst, and Congress cannot exercise much independent judgment. Readable evaluations are indispensable if evaluation is not to become an executive violation of legislative power and independence.

(5) Input into the Legislative Process. There is no special value in evaluation; the payoff comes in using evaluative findings for program design and implementation. Yet, there often is little follow-up to an evaluation; once done, the case is closed and the evaluators move on to other matters. Each evaluation is regarded

as a discrete, special event rather than as part of an overall policy process.

Congress has a vital role in encouraging the application of analysis to public policy. Its two key points of input are the authorization and appropriations processes, and my expectation is that neither presents a perfectly hospitable environment at the present time. As discussed earlier, the impulse for authorizers to double as program advocates impairs their ability to function as program evaluators. With regard to the appropriations process, it seems as targetted on incremental patterns as executive branch budgeting. Yet there is some possibility that the new congressional budget process might bolster the incentives for evaluation at these pivotal legislative stages, if only because of the pressure to consider particular spending demands in the light of overall national priorities and other claims on the budget. Moreover, the new congressional process might contribute to a narrowing of the authorizations-appropriations gap, the proclivity to authorize one level of expenditure but to appropriate at a much lower level. More realistic authorizations might encourage committees to take more careful looks at the programs subject to their oversight.

As long as each evaluation is an "event," a special occasion that commands special notice and applause, we can be sure that the actual progress of evaluation in terms of its utilization for public choice is inadequate. Only when evaluation becomes a regular part of program implementation will it recede as something special and become only something useful for Government. By this test, we all have a long way to go.

APPENDIX A

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Union Calendar No. 31

94th Congress, 1st Session - - - - - - - - House Report No. 94-61

OVERSIGHT PLANS OF THE COMMITTEES OF THE U.S. HOUSE OF REPRESENTATIVES

A REPORT

BY THE

COMMITTEE ON GOVERNMENT OPERATIONS

MARCH 14, 1975.—Committed to the Committee of the Whole House on the State of the Union and ordered to be printed

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LETTER OF TRANSMITTAL

MARCH 14, 1975.

Hon. CARL ALBERT,
Speaker of the House of Representatives,
Washington, D.C.

DEAR MR. SPEAKER: Pursuant to rule 18(b) of the Committee on Government Operations, I submit herewith the committee's report to the 94th Congress, as required by House rule X, 2(c) relating to the oversight plans of the standing committees of the House of Representatives.

JACK BROOKS, *Chairman.*

CONTENTS

	Page
Introduction	3
Background	5
Oversight coordination	7
Committee responses	9
Committee on Agriculture	13
Committee on Appropriations	14
Committee on Armed Services	21
Committee on Banking, Currency and Housing	24
Committee on the Budget	29
Committee on the District of Columbia	31
Committee on Education and Labor	32
Committee on Foreign Affairs	37
Committee on Government Operations	40
Committee on House Administration	50
Committee on Interior and Insular Affairs	52
Committee on Interstate and Foreign Commerce	54
Committee on the Judiciary	57
Committee on Merchant Marine and Fisheries	62
Committee on Post Office and Civil Service	65
Committee on Public Works and Transportation	68
Committee on Rules	70
Committee on Science and Technology	72
Committee on Small Business	76
Committee on Standards of Official Conduct	78
Committee on Veterans' Affairs	79
Committee on Ways and Means	80

Union Calendar No. 31

94TH CONGRESS } HOUSE OF REPRESENTATIVES { REPORT
1st Session } { No. 94–61

OVERSIGHT PLANS OF THE COMMITTEES OF THE U.S. HOUSE OF REPRESENTATIVES

MARCH 14, 1975.—Committed to the Committee of the Whole House on the State of the Union and ordered to be printed

Mr. BROOKS, from the Committee on Government Operations, submitted the following

REPORT

OVERSIGHT PLANS OF THE COMMITTEES OF THE U.S. HOUSE OF REPRESENTATIVES

Introduction

In adopting the Committee Reform Amendments of 1974, the 93d Congress recognized there were serious shortcomings in what is one of the most important congressional functions—oversight of Federal programs and agencies.

The requirement first set forth in the Legislative Reorganization Act of 1946 that each standing committee exercise a continuing study and review of the statutes under its jurisdiction and the executive agencies and departments responsible for administering them, was made far more explicit by the 93d Congress.

In a further effort to strengthen the overall oversight function of the House, it included in the reform amendments a provision now incorporated in clause 2(c) of rule X, which reads as follows:

> At the beginning of each Congress an appropriate representative of the Committee on Government Operations shall meet with appropriate representatives of each of the other committees of the House to discuss the oversight plans of such committees and to assist in coordinating all of the oversight activities of the House during such Congress. Within 60 days after the Congress convenes, the Committee on Government Operations shall report to the House the results of such meetings and discussions and any recommendations which it may have to assure the most effective coordination of such activities and otherwise achieve the objectives of this clause.

Background

As one of the weights Congress can drop on the scale in an effort to achieve a balance between the legislative and executive branches, oversight has assumed an increasingly important role in recent years. This trend reflects a widespread concern in Congress that the growth of the Federal Establishment has outstripped congressional efforts to supervise it. The chilling example of unchecked Federal power afforded by Watergate-related issues should, alone, provide a sufficient spur for action.

But, oversight should not be seen only as a club held over the executive branch. Ideally, it should complement executive management, providing clear policy limits within which an administrator is free to act. The certain knowledge that failures of administration will be taken into account by an alert oversight committee should produce the efficiency of operation that both Congress and the executive branch desire.

Oversight, especially in recent years, has come to be viewed primarily as an investigative activity, and it is true investigations have played a significant role in helping Congress keep track of executive branch operations. But there are other ways of accomplishing the same end, some more suitable to the continuing supervision that is contemplated by the new oversight rules. Where the goal is to improve efficiency, reinforce policy guidelines or reduce costs, rather than to expose some flagrant misdeed in the executive branch, a conference between committee and agency representatives can frequently achieve the desired result. The authorization and appropriation process offers committees a periodic opportunity to review the administration of many departments and take whatever corrective action is needed.

Oversight, in fact, is not a structured procedure in the manner of Congress legislative function. A continuously watchful eye is the main requirement for determining whether an executive agency is performing as it should, backed by a willingness to act when it is not.

Although practiced in a variety of ways throughout the history of the nation, oversight was not formally authorized as a function of each standing committee until passage of the Legislative Reorganization Act of 1946. That same act revived the long defunct Committee on Expenditures in the Executive Department and gave it broad powers to investigate all Federal agencies and departments.

In 1952, that committee was renamed the Committee on Government Operations and now it has been given an even broader mandate and asked to help fashion a system for a coordinated review of the Federal Government by all committees.

The all-embracing nature of the Committee on Government Operations' oversight jurisdiction, which empowers it to examine "the overall economy and efficiency of government operations and activities," is underscored by the special oversight provisions of the Committee

Reform Amendments of 1974. Clause 4(c)(2) of rule X states that the committee "may at any time conduct investigations of any matter without regard to * * * provisions * * * conferring jurisdiction over such matter upon another standing committee."

The House rules also instruct the other standing committees to include in their legislative reports a summary of any oversight findings and recommendations the Committee on Government Operations may have made under its broad authority to investigate all levels of the Government.

By including these provisions in the rules, the House has again emphasized its acceptance of the principle of maintaining an oversight committee separate and apart from the committees that have responsibility for initiating and continuing legislative programs. While these legislative committees carry out their oversight responsibilities in their assigned areas, only the Government Operations Committee has the total view of the overall governmental process and avoids any question of lack of objectivity in connection with its investigations.

The Committee on Government Operations intends to use its broad grant of investigative power carefully, but believes that it is a valuable and essential tool in carrying out the oversight activities of the House.

Oversight Coordination

The Committee on Government Operations recognizes the need for the various committees to coordinate their oversight activities and accepts its responsibilities under rule X, clause 2(c) to assist them in doing so. At the same time, the committee feels constrained to point out that it has neither the authority nor the desire to police the other committees of the House in the performance of their legitimate oversight duties.

Each standing committee has a clearly assigned jurisdiction over which it is authorized by clause 2(b)(1) of rule X to exercise general oversight. Some overlapping of jurisdictions is unavoidable, and the Committee on Government Operations does not read into clause 2(c) any authority for it to arbitrate jurisdictional disputes that may arise. Nor does it interpret the clause to give it any power to supervise the other committees to see if they are meeting their oversight responsibilities as outlined in accordance with the provisions of clause 2(c).

The committee believes that the objectives of the provision concerning oversight coordination can be met by—

(1) Getting each of the committees to focus on its oversight responsibilities and develop some plans for carrying them out early in each Congress;

(2) Indicating where areas of mutual interest or duplication of effort between committees may occur; and

(3) Spotting areas in which no committee has indicated plans for conducting oversight activities.

The committee recognizes the difficulties and uncertainties involved in any effort to set down an oversight agenda covering the next 2 years. It is emphasized that the oversight plans included in this report are only the best estimate at this time of what the committees of the House will try to accomplish in the 94th Congress.

The committee is particularly aware of the difficulties at the beginning of the 94th Congress when each of the committees of the House has a substantial number of new Members and where the committees are operating under the Committee Reform Amendments of 1974 for the first time. At the time this report was prepared, a number of the committees had not yet completed all of their organizational processes, and this presented them with particular problems in attempting to predict their program for the entire Congress. The Government Operations Committee appreciates the complete cooperation and assistance given it by each of the committees in the preparation of this report.

Under the procedure the Committee on Government Operations elected to follow, its representatives met separately with those of each of the other 21 standing committees, discussed the requirements and purposes of clause 2(c), and asked them to submit a statement setting forth both their general oversight jurisdiction and their specific plans

for this Congress. It is the belief of the Committee on Government Operations that the presentation of each committee's plan in its own words gives the House the clearest picture of what the committees see as their major oversight activities, free from any distortions or inadvertent misrepresentation that might result from efforts to interpret or evaluate the plans.

As will be noted from reading the committee responses, several committees claim oversight responsibility for the same general subject area. This is entirely consistent with the legislative responsibilities of these committees, but it is the hope of the Committee on Government Operations that all committees, through an examination of this report, will acquaint themselves with the oversight plans of the other committees, identify areas of potential duplication, and take steps to keep such duplication to a minimum.

One method of accomplishing this might be for committees sharing jurisdiction to notify each other when any oversight activity is to be undertaken and to share any information they may have gathered about the operations of a program. Investigations might be conducted jointly, staff resources might be pooled, requests for information from executive agencies coordinated, and the services of the General Accounting Office used jointly.

Such steps could be especially effective in the area of factfinding, as distinct from matters of law or policy. For example, the subject of sugar pricing is of legitimate interest to a number of committees because of its effect on foreign trade, agriculture and the consumer. Each committee with jurisdiction in these areas would have a different reason for examining the subject, but all might be served by a single set of facts dealing with supply, suppliers, and prices.

In implementing for the first time these new oversight rules, the committee is relying heavily on the other standing committees to recognize and meet their responsibilities. It may be that in future years the House will want to delineate more specifically the role it wants the Committee on Government Operations to play in this regard. At this point, however, it is the committee's hope that by getting the 21 standing committees to focus on oversight early in each Congress and put down their plans for reviewing the programs under their jurisdiction, it has helped set the House on the course charted by the Committee Reform Amendments of 1974.

It is clear that the main purpose behind the adoption of clause 2(c) of rule X is to foster cooperation between the committees of the House in carrying out their oversight duties. With a conscientious effort by all committees, that highly desirable goal can be reached.

Committee Responses

The oversight plans of the committees form an impressive catalogue of programs due to come under congressional scrutiny. It must be recognized, however, that plans are all they are. Oversight, by its nature, is often a response to the unusual and the unforeseen. The unsettled state of the economy, the complex efforts to draft a national energy program, and the volatile world political-military situation, all could lead to executive actions that will require prompt exercise by Congress of its oversight responsibility. In its discussions with the other committees, the Committee on Government Operations made it clear it does not expect them to be held to the plans outlined in this report. They must remain flexible, able to shift their oversight resources wherever they may be needed.

As has been mentioned previously, each committee was requested to provide for the Government Operations Committee a statement of its plans in writing, over the signature of its chairman. These responses will inevitably vary in style and detail as each committee was urged to express in its own way its views of its responsibilities and its plans for carrying them out. In each case, however, the committee representatives were encouraged to state: (1) The structure of the committee for performing its oversight functions; (2) a description of its continuing general oversight activities; and (3) and specific plans at this time for concentrating on particular programs under its jurisdiction.

The committees were asked to make their responses brief in hopes of obtaining more widespread readership of the final document. The committee recognizes that if the purpose of this rule is to be accomplished, the report of the committee must have widespread appeal and be of such form it can be used as a guide by large numbers of persons with varied interests including Members of Congress, congressional staffs, the media, and the public.

The responses of the committees follow:

RESPONSES OF THE COMMITTEES

COMMITTEE ON AGRICULTURE

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON AGRICULTURE,
Washington, D.C., February 25, 1975.

Hon. JACK BROOKS,
Chairman, Government Operations Committee, House of Representatives, Washington, D.C.

MY DEAR MR. CHAIRMAN: This is in reference to the oversight activities contemplated by the Committee on Agriculture during the 94th Congress.

Pursuant to House Rule X, clause 2(c) and your letter to me, members of our respective Committee staffs met last week to survey the scope of this Committee's activities during the current Congress.

This Committee intends to conduct oversight and discharge its investigative responsibilities in several ways.

First, we plan to rely on the membership of the Subcommittee on Department Operations, Investigation and Oversight for the bulk of this work. The Committee has in fact provided in its rules that none of our other nine Subcommittees shall undertake a major investigation without the consent of the Chairman of the full Committee.

Second, all of our Subcommittees will conduct oversight and review in the consideration of legislative proposals under consideration.

And finally, the full Committee will continue to exercise oversight and review over those agencies which are affected by measures considered in the full Committee.

The areas we know will be examined in the 94th Congress include the Food Stamp Program, for which we are now planning a thorough review, sugar pricing systems, crop disaster and the administration and operation of the Federal Fungicide, Rodenticide and Insecticide Act, and the target price and loan system on major agricultural crops.

Naturally we cannot anticipate all the areas of upcoming oversight as events yet to unfold will dictate that course of action for us. Thus we feel that we are neither restricted nor committed to any specific oversight activities at this particular time.

In order to give your Committee and the House a better picture of our oversight activities, I have attached a copy of our Report to the House for the 93rd Congress on the subject (House Report 93–1654).* I would draw special attention to the jurisdictional range and the 44 specific oversight activities we carried out in 1973–74 as set forth on pages 4, 5, 6, 13 and 14.

I hope this will be helpful to you in carrying out your duties under House Rule X.

Sincerely,

THOMAS S. FOLEY, *Chairman.*

*Document available in files of the Committee on Government Operations.

COMMITTEE ON APPROPRIATIONS

HOUSE OF REPRESENTATIVES,
COMMITTEE ON APPROPRIATIONS,
Washington, D.C., February 27, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: I am writing in response to your letter of February 13 and your request for information concerning the oversight activities of the Appropriations Committee in the 94th Congress as required by the new provisions of Clause 2(c) of Rule X of the House.

As you know, the Committee on Appropriations is specifically exempted from general legislative oversight responsibilities under Clause 2(b)(1) of Rule X. The Committee does, however, retain the fiscal oversight function under Clause 2(b)(3) of Rule X which was formerly contained in Clause 2(b) of Rule XI. Under this provision the Committee is authorized to conduct studies and examinations of the executive departments and agencies as it deems necessary to assist it in deliberations on matters within its jurisdiction.

As I understand the intent of the new rule, it is the responsibility of the Committee on Government Operations to perform a coordinating function with respect to the oversight activities of the various standing committees of the House and make such recommendations as your Committee may deem appropriate to promote the overall effectiveness of reviewing the ongoing activities of the federal establishment. It is understandable that the rule applies differently to the Appropriations Committee than to the legislative committees.

The principal function of the Appropriations Committee under Rule X of the House is the "Appropriations of the revenue for the support of the Government". In executing its responsibilities, the Committee through its thirteen subcommittees, annually examines the budget estimates of federal organizations contained in the Budget of the United States. The vast majority of this activity is directed at determining what amounts of money will be required to execute the various federal programs during the forthcoming year under existing legislation. The Rules of the House prohibit the appropriation of monies for purposes not previously authorized. Therefore, the Committee examination of budget requests typically incorporates the procedure of reviewing the execution of the ongoing programs as an important yardstick in measuring appropriation requirements for the subsequent fiscal year. This process has substantial "oversight" charac-

teristics. It would be difficult, if not impossible, to identify what portion of the Committee's annual budget examination might be classified as "oversight" in nature, but it is considerable.

During the last session of Congress, the Committee conducted over 400 days of hearings, generating some 70 volumes of testimony and supporting material aggregating some 75,000 printed pages. For each of the last two years, nine of the thirteen regular annual appropriation bills were passed through the House by the end of June. In each of these years three bills were delayed due to the lack of legislative authorization. This year we again hope to clear as many of the appropriation bills as possible through the House by the end of June contingent upon the availability of the necessary authorizing legislation.

The Committee has now begun hearings on the fiscal 1976 budget. During the hearings this year, the Committee will explore certain programs and situations which have been the subject of special studies by the Committee's Surveys and Investigation Staff. The Committee has over a number of years delegated the power to originate requests for investigations to its subcommittees, with the concurrence of the Chairman and Ranking Minority Member of the full Committee required to implement such requests. The various subcommittees utilize the capability of the Surveys and Investigations Staff to make examinations of specific subjects.

As a matter of information, the Surveys and Investigations Staff is headed by a permanent professional staff member who is assisted by three high-caliber professional personnel from the Federal Bureau of Investigation under an arrangement dating back to 1943. These men are obtained from the F.B.I. and are placed directly on the payroll of the Appropriations Committee for the duration of their tour. Each serves two years in an apprenticeship capacity and then one year as a senior man. After this three-year assignment is completed, the men return to the Bureau to continue their professional careers.

When an investigation is ordered, experts in the field are assembled on an ad hoc basis, from outside or from within the government, to conduct the prescribed study and prepare a report thereon for the use of the Committee. The Committee delegates to this staff the responsibility for the selection of individual experts, the criteria being competence and objectivity.

Once a particular study is completed, the investigator returns to his parent organization which is appropriately reimbursed for his time. Since the investigators are not permanent personnel, the system is elastic and economical. It is a unique arrangement insofar as we know, and the Committee has been well satisfied with the unbiased, objective reports rendered.

During the 93rd Congress, the Investigative Staff conducted 95 studies concerning various agencies' operations and programs. During this two-year period, 134 people on loan from 18 agencies of the Government spent 1,489 man-months engaged in the conduct of studies and the preparation of reports. This is equivalent to about 124 man-years. Some of these studies, together with studies initiated this year, will be an important part of the Committee's activities this year which should be classified as "oversight" in nature. There follows a listing of studies

and investigations which have been initiated as a result of the hearings last year or in anticipation of hearings for fiscal year 1976 and represent subjects which are candidates for "oversight" attention this year.

Name of study	*Actual (or estimated) date of completion*
A detailed review of the operations of the Defense Investigative Service of the Department of Defense.	Dec. 16, 1974.
Programs and activities of the National Security Agency.	(Mar. 7, 1975.)
Utilization of military facilities—closure of McCoy Air Force Base.	June 24, 1974.
Phasedown of the Naval Air Station, Alameda, Calif.	Aug. 30, 1974.
Phasedown of the Hamilton Air Force Base, Calif.	Sept. 24, 1974.
Phasedown of Ft. Wainwright, Fairbanks, Alaska.	Sept. 24, 1974.
Closure of the Naval Shipyard, Hunters Point, Calif.	Sept. 27, 1974.
A review of the navigation systems of the Federal Government.	Feb. 12, 1975.
Air traffic control systems in the Department of Transportation and the Department of Defense.	(Mar. 14, 1975.)
Proposed relocation of the Fleet Missile Systems Analysis and Evaluation Group of the Department of the Navy.	Nov. 4, 1974.
A review of the worldwide operations of the Defense Mapping Agency.	(Mar. 7, 1975.)
Property maintenance, repair, and minor constructions in the Department of Defense.	(Mar. 19, 1975.)
Budgeting and operational problems of the Federal Buildings Fund of the General Services Administration.	Feb. 19, 1975.
The use of automatic data processing and communications systems of the Food and Drug Administration.	Feb. 10. 1975.
Analysis of the operational costs at Howard University compared with educational institutions of comparable size.	(Mar. 14, 1975.)
A review of the operation and activities of the Minority Business Enterprise program of the Department of Commerce.	(Mar. 6, 1975.)
A review of the Community Mental Health Centers' staffing grants program supported by the Department of Health, Education, and Welfare.	(Mar. 19, 1975.)
A review of the Maternal and Child Health formula grant program of the Department of Health, Education, and Welfare.	Feb. 18, 1975.
Analysis of the overhead reimbursement policy of the Department of Health, Education, and Welfare.	(Mar. 24, 1975.)
Analysis of bed occupancies and credits to research grants under the General Clinical Research Centers program of the National Institutes of Health.	Jan. 10, 1975.
A review of the evaluation programs of the Department of Health, Education, and Welfare.	Feb. 25, 1975.
A study of Federal programs which support the purchase of instructional equipment by institutions of higher learning—Office of Education of the Department of Health, Education, and Welfare.	(Mar. 3, 1975.)
Analysis of the manpower management policy and practices in the Department of Health, Education, and Welfare.	Feb. 13, 1975.
A review and analysis of the various problems associated with the construction of the Gathright Lake, Va., flood control project, Army Corps of Engineers.	Feb. 3, 1975.
A review of the contracts and grants awarded by the Office of Education for the support and improvement of postsecondary education—Department of Health, Education, and Welfare.	(Mar. 12, 1975.)

Name of study	Actual (or estimated) date of completion
An analysis of headquarters staffing and activities of the various components of the Department of Defense.	(Mar. 27, 1975.)
A review and analysis of the activities of the Consumer Product Safety Commission.	(Mar. 11, 1975.)
An overall review of the activities of the Federal Trade Commission.	Feb. 7, 1975.
A specific analysis of the information systems and automatic data processing activities of the Federal Trade Commission.	Jan. 10, 1975.
An overall review of the activities of the Food and Drug Administration.	Feb. 26, 1975.
A general review of the F–14 aircraft program of the Department of the Navy, including delivery schedule, advance payments, performance of the aircraft, comparative cost of F–14 and F–15, and cost effectiveness compared with possible replacement aircraft.	(May 15, 1975.)
A review of the activities of the National Center for Toxicological Research of the Food and Drug Administration.	(Mar. 31, 1975)
A review of the requirements and criteria used by the military services in providing graduate degrees to military personnel.	(Apr. 18, 1975.)
A report to the Committee on the factors which have contributed to the rising cost of electricity to the American consumer and the effect Government regulations have had on such increases.	(Mar. 14, 1975.)
A report of the overseas deployment of tactical nuclear weapons of the Department of Defense.	(May 30, 1975.)
An analysis of the Migrant Health Program of the Department of Health, Education, and Welfare.	Feb. 20, 1975.
A review of the airborne warning and control system proposed by the Department of the Air Force.	(Apr. 11, 1975.)
An inquiry into the operation of the Yokota Air Base, Japan, and the consolidation of military facilities in the Kanto Plain area.	(June 13, 1975.)
The feasibility of adopting the unit replacement concept for armed forces deployed overseas.	(May 26, 1975.)
A detailed analysis of the computer operations of the Energy Research and Development Administration.	(Mar. 31, 1975.)
A report on the cost overruns associated with the various programs of the Atomic Energy Commission (Energy Research and Development Administration).	(Mar. 26, 1975.)
A comprehensive analysis of the New Communities Assistance Program of the Department of Housing and Urban Development.	(Mar. 31, 1975.)
Analysis of the scientific research programs of the Department of Agriculture.	(Mar. 14, 1975.)
An analysis of the regional and area office structure of the Department of Housing and Urban Development.	(Mar. 21, 1975.)
An analysis of the need for and cost of the Rocket Assisted Projectile Program of the Department of the Army.	(Apr. 2, 1975.)
An analysis of the research facilities of the Environmental Protection Agency.	(Mar. 21, 1975.)
A study of the restructuring of the Naval Reserve, together with an evaluation of the impact such restructuring has had upon the training, readiness, morale, etc. of the personnel involved.	(Apr. 21, 1975.)
An analysis of the need for a proposed second source for hull and turret castings for the M48 tank—Department of the Army.	(Feb. 4, 1975.)

Name of study	Actual (or estimated) date of completion
A detailed review of the construction programs of the Veterans' Administration, including an analysis of cost overruns associated therewith.	(May 1, 1975.)
A detailed analysis of the XM–1 tank program of the Department of the Army.	(July 11, 1975.)
A review of the compliance of the Department of the Interior with certain language contained in the House Report for fiscal year 1975 concerning the Intermountain Indian School and the National Indian Training Center at Brigham City, Utah.	(Mar. 21, 1975.)

With respect to the above listing, it is important to note that because the studies originate with the subcommittees, any information developed during the course of an investigation is reported to the chairman of the subcommittee which requested such study or examination as well as the Chairman and Ranking Minority Member of the full Committee, and such information may be released for publication only when the subcommittee so determines. This procedure is incorporated in Section 8 of the Committee's rules.

The above listing should not be interpreted as the full extent of the Committee's oversight activities. Requests for investigations are initiated by the various subcommittees from time to time as, in the judgment of their members, are needed to illuminate a particular appropriations issue or problem related to a department or agency within their respective jurisdictions. It would not be practical to undertake to identify what further subjects will receive attention as might be generated by the regular annual review process which has just begun.

In addition to the information made available to the Committee through its Surveys and Investigations Staff, its "oversight" functions are buttressed by the continual utilization of the resources of the General Accounting Office. The Committee receives a copy of every GAO report sent to the Congress. In recent years the scope of the GAO auditing and review capability has been enlarged to include management surveys. For some seventeen years, the GAO has extracted from these reports and compiled in separate volumes a list of so-called "significant Audit Findings" for special use by the Committee staff in the annual appropriations hearings. This compilation is designed to identify problem areas in an individual agency which might have applicability to other organizations. These findings relate to matters which are felt to require corrective action by the Committee's efforts, through legislation, or through administrative efforts. You and your staff may be interested in reviewing the latest 191 page report which was issued by the General Accounting Office on January 2, 1975.

The extent of use of GAO findings by the Appropriations Committee is reflected in the number of references to the GAO in the annual appropriation hearings on the House and Senate in recent years as follows:

Year:	
1968	649
1969	727
1970	701
1971	722
1972	722
1973	632

Additionally, the Committee frequently calls upon GAO to make special studies and investigations. During FY 1974 GAO prepared 16 studies of significant programs as requested by the Committee as well as 53 staff studies on defense weapons systems.

Pending for possible attention in connection with the fiscal year 1976 hearings are GAO studies in a number of areas. Selected examples are as follows:

Request for views on section 1015 of Public Law 93–344 with regard to budget rescissions and deferrals

Comprehensive review of commissary operation and commissary stores operated by the military services

Review all funds obligated under the Presidential Transition Act

Army's program to modernize ammunition plants—Department of the Army (continuing work). B–172707

International shipments of household goods—DOD

Move policies related to unaccompanied tours of duty

"Do It Yourself" programs for movement of household goods

Planning and budgeting for new test facilities at Arnold Engineering Development Center, Tennessee

Department of Defense Requirement for Helicopters

Feasibility of Consolidating Chaplain Schools

Training Rates for Pilots and Navigators

Legality of crediting reimbursements to the appropriation year collected. Also, requests GAO in conjunction with OMB and Treasury Department, reexamine the appropriation and apportionment processes to determine what legislative and regulatory changes may be needed to eliminate the existing potential for the M accounts and related Surplus Funds accounts to be used to increase fund availability and obligational authority to avoid possible overobligation or overexpenditure violations under the Anti-Deficiency Act

Study allegations that the Army Electronic Command at Fort Monmouth, New Jersey, has overobligated funds available to it for FY 1974 by some $56 million

Review directed by Conference Report on FY DOD Appropriations, House Report Number 93–1363, dated 9/18/74—DOD's stockpiling of war materials or equipment for use by foreign countries

Review of enlisted separation payments (Directed by House Report No. 93–1255, Fiscal Year 1975 Department of Defense Appropriation Bill)

Loan Guarantee Programs under the Rail Passenger Service Act and the Regional Rail Reorganization Act

Cost comparisons of subsidized housing provided under the Section 23, Section 236, and revised Section 23 programs, and monitor and keep Congress advised of costs of the new revised Section 23 program as it is being developed and implemented.

In 1972 GAO was reorganized on a functional basis. This was designed to encourage better response to demands for broad-based and program-type reviews. It provided a vehicle for senior staff to achieve a high degree of specialization in the subject matters of functional areas assigned to them.

Further, an Office of Program and Budget Analysis was established in 1975 in response to the Budget and Impoundment Control Act of 1974. The specific responsibility of this office, to the Appropriations Committee and others. includes the following:

1. Budget issue identification and analysis,
2. Macro analysis of major budget and fiscal issues,
3. Budget related revenue analyses,
4. Analysis of executive budget and supporting data,
5. Coordination of GAO-wide support of the Congressional budget process,
6. Impoundment review and reporting,
7. Liaison with Congressional Budget Office and the Congressional Budget Committees and liaison with other Congressional Committees.

The Committee is presently contemplating how best to further and better utilize the GAO in regard to their traditional services and expanding capabilities but especially with respect to securing rapid reports on topics which relate to issues arising in current appropriations hearings. It is felt that such a capability may be especially fruitful in the defense field.

While I realize that some of my comments in regard to the "oversight" plans of the Appropriations Committee have been somewhat general, I hope the specifics that I have indicated are sufficient to illustrate the scope and thrust of the work we undertake on an annual basis and will be useful to you in developing the report which must be rendered in accordance with Clause 2 of Rule X. If there is any other information which we might provide, we want to cooperate to the fullest extent.

Best regards.

Sincerely,

GEORGE MAHON, *Chairman.*

COMMITTEE ON ARMED SERVICES

U.S. House of Representatives,
Committee on Armed Services,
Washington, D.C., February 28, 1975.

Hon. Jack Brooks,
Chairman, Committee on Government Operations,
U.S. House of Representatives, Washington, D.C.

Dear Mr. Chairman: This will acknowledge your letter of February 13, 1975 with reference to the provisions of clause 2(c) of Rule X of the rules of the House for the 94th Congress requiring coordination of the oversight activities of the standing Committees of the House by the Committee on Government Operations. We have consulted with members of your staff and submit the following report of oversight contemplated by the Armed Services Committee during the 94th Congress.

This Committee will not utilize a special oversight subcommittee to carry out its oversight responsibilities. Rather, as has been the case over the years, the standing legislative subcommittees and the Special Subcommittee on Intelligence will be responsible for the oversight function in their areas of jurisdiction.

The general oversight responsibilities of the House Armed Services Committee, as contained in Rule X of the rules of the House of Representatives, are as follows:

(1) Common defense generally.

(2) The Department of Defense generally, including the Departments of the Army, Navy, and Air Force generally.

(3) Ammunition depots; forts; arsenals; Army, Navy, and Air Force reservations and establishments.

(4) Conservation, development, and use of naval petroleum and oil shale reserves.

(5) Pay, promotion, retirement, and other benefits and privileges of members of the armed forces.

(6) Scientific research and development in support of the armed services.

(7) Selective service.

(8) Size and composition of the Army, Navy, and Air Force.

(9) Soldiers' and sailors' homes.

(10) Strategic and critical materials necessary for the common defense.

Note.—Under Rule X 3(a) the Committee has a special oversight function with respect to international arms control and disarmament and military dependents education.

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In response to the House rules and your specific request, the following areas and subjects have been designated for special oversight attention during the 94th Congress:

(1) Intelligence

To cover the Central Intelligence Agency, the National Security Agency and Department of Defense and service intelligence components, including intelligence activities in the United States and abroad and the collection, analysis and dissemination of intelligence information, intelligence estimates and covert activities. Also, included are those areas where such departments or agencies participate in intelligence matters outside their respective immediate chains of command. The overview will also include personnel policies and practices, relevant procurement policies and practices and budget matters.

(2) Energy

The exploration, development and any limited production in the Naval Petroleum and Oil Shale Reserves with particular reference to the maintenance of a defense petroleum asset.

(3) Foreign Military Sales and Their Impact on Readiness of U.S. Forces

(4) U.S. Training of Foreign Military Personnel

(5) Cost-Effectiveness Studies of the Military Departments

(6) Foreign Investment in U.S. Defense-Oriented Corporations

(7) Department of Defense World-Wide Command and Control System

(8) Thefts and Losses of Military Weapons

(9) Military Commissary Stores

(10) Strategic and Critical Materials in the National Stockpile

(11) Military Real Estate Acquisitions and Disposals

(12) The Naval Base at Diego Garcia

(13) The Airborne Command Post Program

(14) The Manned Bomber in the Strategic Arsenal

(15) The Planned Production Contract for AWACS

(16) Naval Vessels and Shipyards

Special attention will be given to an examination of the procurement and construction of naval vessels and maintenance and production problems in public and private shipyards.

(17) Anti-Submarine Warfare

This overview will include procurement and construction of anti-submarine warfare systems.

(18) Transfer and Disposal of Naval Vessels

(19) Sealift in our National Security

(20) Department of Defense Personnel (Military and Civilian)

Particular attention will be focused on the all-volunteer force concept, the total force concept, retention of military personnel, military medical care delivery and the CHAMPUS program, dependent policies in the U.S. and overseas and the Uniform Code of Military Justice.

(21) Military Compensation, Promotion and Retirement

Attention will be focused on proposals which involve revision of the total spectrum of laws relating to officer selection, promotion and separation procedures, as well as modernization of the military retirement system. Also, there will be a reexamination of the Survivor

Benefit Plan for military personnel. In addition, there will be a major review of the total range of military pay and allowances, including the implementation of special pay legislation for professionals in the health care fields, personnel in military flight status and other areas of special pay categories.

(22) The Army Tank Program
(23) U.S. Military Commitment to NATO
(24) The Soviet Threat
(25) The Military Situation in the Middle East
(26) Arms Control and Disarmament
(27) The Selective Service System
(28) Research and Development

General legislative oversight incorporating all of the research, development, test and evaluation programs of the individual service departments and defense agencies, with special emphasis on those programs which are being considered for ultimate procurement, such as the AWACS; B-1; the XM-1 tank program; various missile programs and support systems; the TRIDENT program; military airlift; independent research and development. The Committee also intends to review the following subject matter in connection with its RDT&E oversight responsibilities: military requirements and military support technology for chemical weapons; development of greater standardization and commonality in military weapons systems; the implications of détente on RDT&E effort; the Strategic Arms Limitation Treaty; and various other foreign policy implications in the RDT&E programs of the military departments.

I believe it is evident, Mr. Chairman, that the foregoing information is not restrictive in any way since experience indicates that future circumstances may require additional oversight emphasis in areas not previously marked for special attention. In such instances it may well be necessary to divert the Committee resources in new directions at the expense of an area or areas previously marked for special attention. Also, in submitting the information above concerning intelligence oversight, we are mindful of the special requirements placed upon the Select Committee on Intelligence established by H. Res. 138. In addition, it should be pointed out that the Committee conducts continuous oversight activities through correspondence and other communications into all facets of the provisions of Titles 10 (Armed Forces), 37 (Pay and Allowances), 50 and 50 Appendix (War and National Defense), United States Code by virtue of the unique way such statutes cut across the daily operations and activities in the Department of Defense and in some instances, the Central Intelligence Agency. Finally, in carrying out its oversight responsibility the Committee on Government Operations may care to have reference to the Report of Activities of the Committee on Armed Services, 93rd Congress, House Report 93-1662 of January 2, 1975.

With best regards, I am,

Sincerely,

MELVIN PRICE, *Chairman.*

COMMITTEE ON BANKING, CURRENCY AND HOUSING

U.S. House of Representatives,
Committee on Banking, Currency and Housing,
Washington, D.C., February 28, 1975.

Hon. Jack Brooks,
Chairman, Government Operations Committee, House of Representatives, Washington, D.C.

Dear Mr. Chairman: In reference to your recent letter and discussions between members of your staff and the staff of the House Committee on Banking, Currency and Housing, the following information is submitted to you concerning the oversight activities of our Committee.

The House Committee on Banking, Currency and Housing has established a Subcommittee on General Oversight and Renegotiation. The jurisdiction of this Subcommittee, as set forth in the Committee Rules, states as follows:

> The General Oversight and Renegotiation Subcommittee shall assist the House Committee on Banking, Currency and Housing in appraising the administration of the laws and regulations under the jurisdiction of the Committee and present such recommendations as deemed necessary to the appropriate subcommittee(s) of the Committee.
>
> Further, the Subcommittee shall exercise continuing oversight of the execution by the administrative agencies concerning any of the laws the subject matter of which reside within the jurisdiction of the Committee and shall study all pertinent reports, documents and data pertinent to the jurisdiction of the Committee and make the necessary recommendations or reports thereon to the appropriate subcommittee(s) of the Committee.

Further, the Subcommittee shall have full jurisdiction over the Renegotiation Act of 1951, as amended.

Further, as stated in Rule IX of the Rules of the Committee on Banking, Currency and Housing, the Oversight Subcommittee is charged with responsibilities as set forth in *Attachment 1*. It is understood, as set forth in this rule, that the Oversight Subcommittee of the House Committee on Banking, Currency and Housing shall not infringe upon the jurisdiction of another subcommittee of the full Committee without proper consultation. The Oversight Subcommittee, therefore, is directed to coordinate and cooperate with the legislative subcommittees of the full Committee. The Oversight Subcommittee is precluded from investigating any subject matter falling within the jurisdiction of a legislative subcommittee of the Committee unless the legislative subcommittee is in accord with the undertaking.

The Chairman of the Committee and the Committee is to be informed of any proposed oversight undertakings by any subcommittee. If any question arises concerning the jurisdiction of the Oversight Subcommittee and a legislative subcommittee, the Chairman of the Committee is charged with the responsibility of arbitrating the differences. If necessary, the matter can be appealed to the Democratic Caucus and, if necessary, the full Committee.

Some of the oversight and investigative activities of the various subcommittees of the House Committee on Banking, Currency and Housing that will be undertaken this year are set forth, by subcommittee, in *Attachment 2*. This list of proposed oversight and investigative activities of the various subcommittees of the full Committee may not be all-inclusive. Instances may arise requesting immediate attention by the committee or one of its subcommittees which have not been anticipated. Further, the amount of time devoted to a given investigation may exceed the initial estimated time and, therefore, it may not be possible to carry out oversight in all of the areas detailed above.

Mr. Chairman, I believe the above statements answers in detail your questions concerning this Committee's oversight structure and functioning.

Sincerely,

HENRY S. REUSS, *Chairman.*

[Attachment 1]

RULE No. IX

OVERSIGHT SUBCOMMITTEE

(a) In order to assist the House in:

(1) its analysis, appraisal, and evaluation of (A) the application, administration, execution, and effectiveness of the laws enacted by the Congress, or (B) conditions and circumstances which may indicate the necessity or desirability of enacting new or additional legislation, and

(2) its formulation, consideration, and enactment of such modifications or changes in those laws, and of such additional legislation, as may be necessary or appropriate, there shall be established in conformity with Rule XV an Oversight Subcommittee.

(b) The Oversight Subcommittee shall review and study, on a continuing basis, the application, administration, execution, and effectiveness of those laws, or parts of laws, the subject matter of which is within the jurisdiction of the committee, and the organization and operation of the Federal agencies and entities having responsibilities in or for the administration and execution thereof, in order to determine whether such laws and the programs thereunder are being implemented and carried out in accordance with the intent of the Congress and whether such programs should be continued, curtailed, or eliminated. In addition, the Oversight Subcommittee shall review and study any conditions or circumstances which may indicate the necessity or desirability of enacting new or additional legislation within the jurisdiction of the committee (whether or not any bill or resolution

has been introduced with respect thereto), and shall on a continuing basis undertake futures research and forecasting on matters within the jurisdiction of the committee. The Oversight Subcommittee shall in no way limit the responsibility of the subcommittees from carrying out their oversight responsibilities.

(c) The Oversight Subcommittee shall review and study on a continuing basis the impact or probable impact of tax policies affecting subjects within the jurisdiction of the committee.

DOMESTIC MONETARY POLICY SUBCOMMITTEE

This subcommittee in the immediate future will begin hearings on legislation which would require interest to be paid on funds owned by the Federal Government residing in non-interest bearing accounts, primarily in commercial banks. This has been a matter which has been under investigation for a number of years, and finally the Treasury Department has agreed that such funds should bear interest. Estimates indicate the Federal Government could realize upwards of $400 million a year from such legislation.

Investigative undertakings of the Subcommittee this year will include inquiry into:

The necessity and desirability for monetary policy to be made an integral part of the overall economic policy-making process now carried on by the Executive Branch and the Congress, thus making monetary policy more directly accountable to the political process.

The relationship between the monetary policy responsibilities of the Federal Reserve and its bank regulatory responsibilities, including the questions of whether a serious conflict of interest exists in having the same government agency carrying out at the same time both monetary and regulatory responsibilities; and the extent to which the Federal Reserve uses its regulatory power to achieve its monetary policy goals.

To what extent does the Federal Reserve use its authority to allocate credit on an ad hoc basis while publicly opposing Congressional attempts to establish a fair, open and rational system of credit allocation with specifically established criteria based on Congress' perception of the public interest.

The effect of monetary policy and other financial actions on interest rates, allocation of credit, and the structure and functioning of domestic and foreign financial institutions, including such possible effects as creating increased concentration, a lessening of competition, and restricting adequate access to credit to various elements in the economy.

HOUSING AND COMMUNITY DEVELOPMENT SUBCOMMITTEE

Investigative oversight activities of the Subcommittee on Housing and Community Development this year will include:

Oversight hearings on the New Communities Program and on HUD administration and suspension of new communities program.

Mortgage credit hearings and studies to provide a comprehensive review of the role and operations of the FHA, FNMA, GNMA, FHLMC, Farmers' Home Administration, the private mortgage insurance industry, and State and local credit programs.

Section 8 Housing Subsidy and Community Development Block Grant Programs, oversight of HUD implementation of programs and evaluation of performance under programs.

701 Comprehensive Planning Program; A–95 Review Process, examination of program benefits and administration of programs.

Preservation of the existing housing stock, study of the progress and procedures for the preservation of older housing and the contribution of the Section 8 and Community Development Programs.

ECONOMIC STABILIZATION SUBCOMMITTEE

The Economic Stabilization Subcommittee will devote a great deal of its time to oversight inquiries into the operations of the Defense Production Act. This inquiry will explore the procedures and processes whereby under the Defense Production Act, loans and loan guarantees can be granted to businesses for the development of technological processes and for the exploration, development and mining of strategic metals and materials. This, obviously, could have some positive implications for energy resource development. In addition, oversight investigations in this area will include the operations of the Defense Production Act, regarding stockpiling provisions for national defense purposes—both the acquisition and sale thereof. Obviously, too, the stockpile provisions of the Defense Production Act could be used for stockpiling of energy resources.

FINANCIAL INSTITUTIONS SUPERVISION, REGULATION AND INSURANCE SUBCOMMITTEE

This Subcommittee intends to conduct investigative oversight hearings into the reasons for the recent bank failures, which hopefully will ultimately provide the Committee with the necessary ingredients needed to revive and revamp the financial institutions federal regulatory structure.

This Subcommittee will, in addition, continue to investigate redlining, whereby access to credit sources in central cities in viable neighborhoods is denied credit due to reasons which are not economic. Also, the Subcommittee will investigate the question of conversion of mutual savings and loan associations into stock associations and review existing cease and desist authority for bank and savings and loan holding companies.

HISTORIC PRESERVATION AND COINAGE SUBCOMMITTEE

The Subcommittee on Historic Preservation and Coinage, under the Chairmanship of the Honorable Robert G. Stephens, Jr., will look into the coinage programs of the United States Government as they are being developed as part of our Bicentennial celebration.

In addition, this Subcommittee, again in anticipation of the Bicentennial celebrations will conduct a complete review of Title I of the National Housing Act as it relates to the funding of studies, acquisitions and/or preservation of historic structures in the United States.

INTERNATIONAL DEVELOPMENT INSTITUTIONS AND FINANCE SUBCOMMITTEE

Investigative and oversight activities of the Subcommittee will comprise a general review of U.S. participation in the various international development institutions with a view to determining what the continuing role of the U.S. as a participant should be in the institutions. It has been some years since this subcommittee conducted a general review of the internal operations and lending policies of these institutions which will be done this year.

GENERAL OVERSIGHT AND RENEGOTIATION SUBCOMMITTEE

General oversight subjects which may be undertaken by this subcommittee, in consultation and accord with the substantive legislative subcommittees of the full committee, possibly would include bank closing, Federal Reserve System building programs, government tax and loan accounts, Federal crime insurance, military credit unions, Section 312 rehabilitation laws and laws of the several states affecting condominium purchases.

CONSUMER AFFAIRS SUBCOMMITTEE

Investigative activities of this Subcommittee will include a review of the effectiveness of the existing truth-in-lending legislation and investigation into the practices of credit collecting agencies and some oversight hearings into specific consumer price increases.

INTERNATIONAL TRADE, INVESTMENT AND MONETARY POLICY SUBCOMMITTEE

The Subcommittee on International Trade, Investment and Monetary Policy, under the Chairmanship of the Honorable Thomas M. Rees, will review the structure, function and activity of the Export-Import Bank, especially as regards Ex-Im lending and guarantee programs and projects to Communist countries.

In addition, the jurisdiction of this subcommittee extends to IMF U.S. policy regarding investments abroad, especially by multinational corporations and foreign investment in the United States.

In addition, the Subcommittee will begin an overall investigation of operations and in this regard legislation will probably be transmitted to the Hill which would seek to create an IMF special oil facility. If so, this legislation, which would call for the participation of perhaps up to $25 billion by the United States and/or other industrial nations, would be considered by this Subcommittee.

COMMITTEE ON THE BUDGET

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON THE BUDGET,
Washington, D.C., March 3, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, U.S. House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: The purpose of this letter is to inform you of the Budget Committee's oversight responsibilities in general, the specific areas of oversight expected to be undertaken this year, and the structure to be utilized to carry out oversight activities.

As you know, the Committee on the Budget only recently organized itself for the 94th Congress, and much of the Committee's time has been devoted to dealing with the extent to which the new budget process called for in the Congressional Budget and Impoundment Control Act of 1974 (Public Law 93–344) will be implemented this year. Consequently, since the Committee has made no formal decisions on specific oversight activities to be conducted this year, the following should be regarded as tentative in nature. We will, of course, inform you as soon as possible of specific oversight activities decided upon by the Committee.

GENERAL OVERSIGHT RESPONSIBILITIES

The Budget Committee is responsible for:

(1) making continuing studies of the effect on budget outlays of relevant existing and proposed legislation and reporting the results of such studies to the House on a recurring basis;

(2) requesting and evaluating continuing studies of tax expenditures, devising methods of coordinating tax expenditures, policies, and programs with direct budget outlays, and reporting the results of such studies to the House on a recurring basis;

(3) reviewing, on a continuing basis, the conduct by the Congressional Budget Office of its functions and duties. (P.L. 93–344, section 101.)

In addition, P.L. 93–344 directs the Budget Committee to undertake a series of studies in specific areas:

(1) not later than the close of the 95th Congress, the Budget Committee is required to report to the House on procedures used under section 301(b) concerning the enrollment of appropriation and entitlement legislation (section 301(b));

(2) on a continuing basis, the Budget Committee is required to study provisions of law which exempt certain Federal agencies from inclusion in the budget (section 606); and

(3) on a continuing basis, the Budget Committee is required to study proposals designed to improve and facilitate methods of congressional budget-making (section 703).

SPECIFIC AREAS OF OVERSIGHT TO BE UNDERTAKEN IN 1975

The Budget Committee has made no formal decisions concerning which of the studies enumerated above should be initiated this year. All involve important matters which must receive continuing attention and analysis.

Preliminary work has begun in one area: a study of tax expenditures. The Committee recently asked the Joint Committee on Internal Revenue Taxation to analyze the estimates of tax expenditures made by the President in the FY 1976 budget, and heard testimony on tax expenditures on March 3 from Professor Stanley Surrey of Harvard University. A substantial amount of the Committee's oversight activity this year may involve the tax expenditures area.

The Committee will certainly give special attention this year to the initial activities of the Congressional Budget Office. This Office, established on February 27 upon appointment of a Director by the Speaker of the House and the President *pro tempore* of the Senate, will be organizing and staffing during the next few months so that it can provide the House and Senate Budget Committees with assistance during the latter part of 1975 and, more importantly, in 1976 when the new congressional budget process is fully implemented. Our Committee will work closely with the new Office to assure that it is organized and staffed in a manner designed to provide the highest quality of service to the Budget Committees, other committees of the House and Senate, and Members of Congress.

STRUCTURE TO BE USED TO CARRY OUT OVERSIGHT RESPONSIBILITIES

The Committee has made no formal decision on the structure to be used to carry out its oversight functions. I feel that a series of task forces should be established to undertake the various studies enumerated above; and perhaps a special oversight task force should be established on the Congressional Budget Office. I plan to raise this matter with the Committee at an early date, and will report its decisions to you as soon as possible.

I hope this information is helpful. Please let me know if I can be of any further assistance.

Sincerely yours,

BROCK ADAMS, *Chairman.*

COMMITTEE ON THE DISTRICT OF COLUMBIA

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON THE DISTRICT OF COLUMBIA,
Washington, D.C., February 21, 1975.

Hon. JACK BROOKS,
Chairman of the House Committee on Government Operations, 2157 Rayburn House Office Building, Washington, D.C.

DEAR MR. CHAIRMAN: This comes in response to your letter of February 13, 1975, in which you requested a relatively concise listing of oversight activities contemplated by the District Committee during the 94th Congress. While the Committee has yet to determine how the oversight responsibilities will be divided between the full Committee and six (6) subcommittees, we are certain that the following areas will be subject to investigative oversight by the Committee:

1. The operation of District Government and the transition to home rule.
2. St. Elizabeth's Hospital.
3. The Bicentennial organization and activities in the National Capital Region.
4. The taxicab industry in the District of Columbia.
5. National capital regional issues, such as aspects of the Potomac River and the water and sewage system of the District.
6. Social Service delivery systems.
7. Implementation of the 1973 Governmental Reorganization plan with a view to its economy and efficiency.
8. Operation of the National Capital Service Area.
9. METRO with respect to its financial affairs and related matters.
10. The administration of justice in the District of Columbia, including an investigation of the "preventive detention" issue.
11. Economic development and housing in the city.

The Chief Counsel of the Committee, Mr. Robert B. Washington, Jr., is the staff person designated for contact by members of your Committee Staff. I, of course, will be happy to discuss any of these items with you, if you feel it would be helpful.

Sincerely,

CHARLES C. DIGGS, JR.,
Chairman, Committee on the District of Columbia.

COMMITTEE ON EDUCATION AND LABOR

HOUSE OF REPRESENTATIVES,
COMMITTEE ON EDUCATION AND LABOR,
Washington, D.C., March 3, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, U.S. House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: Pursuant to your letter of February 13, representatives of this Committee conferred with your staff on February 20 on our Committee's oversight activities for the coming Congress. This letter results from that meeting and is an attempt to assist you to carry out your responsibilities under Clause 2(c) of title X of the Rules of the House.

At our organizational meeting, the Committee on Education and Labor elected to continue to impose oversight responsibility on each of our legislative subcommittees rather than establish a separate subcommittee which would attempt to do oversight in the many areas over which we have jurisdiction. The balance of this letter will indicate what the general jurisdictional responsibilities for each subcommittee are and, as far as possible, lay out the present plans for specific oversight activities.

These plans are necessarily tentative. Nor should they be regarded as exhaustive. Our Committee has always felt obliged to respond to crises or serious problems as they arise. For example, the Special Subcommittee on Labor in the 93d Congress watched very carefully the development of negotiations and the strike actions at the Brookside Mine, as it had the West Coast dock strike in the 92d Congress. Already this year our Subcommittee on Labor Standards has sent a staff investigator to the State of Washington to investigate the impact of the Fair Labor Standards Act Amendments of 1974 on some of the federal employees at the Puget Sound Naval Shipyard. All of our subcommittees will continue to be prepared to respond to such problem situations as the need arises. The need for this sort of response, the development of new and presently unforeseen problems requiring attention, and our legislative duties may force us to curtail some of the projected activities. We will continue, however, as we have in years past to do as much and as effective oversight as is possible.

Both your letter and your staff emphasized "concise listings" and "brevity". I hope the following meets your needs in this respect with fairness to our subcommittees.

SUBCOMMITTEE ON ELEMENTARY, SECONDARY AND VOCATIONAL EDUCATION

General

This Subcommittee has jurisdiction over matters affecting education through the high school level and vocational education.

Specific

(1) The Subcommittee will give careful scrutiny to the implementation of the Education Amendments of 1974. Implementing regulations are being developed and submitted to the Congress for review and oversight has already begun.

These amendments affect the Elementary and Secondary Education Act, the Adult Education Act, Indian education, impact aid, education of the handicapped and other related laws.

(2) Hearings both in Washington and in the field are planned to look into Indian education.

(3) There will be a continuation of oversight hearings and investigation into the administration and effectiveness of the Vocational Education Act of 1963.

Legislation is expected to result from these activities.

SUBCOMMITTEE ON LABOR-MANAGEMENT RELATIONS

General

This Subcommittee has jurisdiction over relationships between employers and employees and the federal laws, statutes and regulations relating to the collective bargaining process.

Specific

(1) The Subcommittee will continue oversight of the administration of the Service Contract Act of 1965 with a view to bringing to light certain questions of interpretation and policy that have arisen.

(2) Oversight will continue into the administration of the National Labor Relations Act.

(3) The appropriateness and effectiveness of the Consumer Price Index and its administration will be studied.

(4) The Labor Department's administration of the Walsh-Healey Act will be the subject of oversight activity.

SUBCOMMITTEE ON LABOR STANDARDS

General

As its name implies, this Subcommittee has jurisdiction over wage and hour standards including welfare and pension plans and coal mine health and safety.

Specific

(1) The Subcommittee will study the impact and implementation of the Fair Labor Standards Amendments of 1974, more precisely the coverage of domestic service employees, public employees (federal, State and local) and the child labor provisions, particularly in agriculture.

(2) The Subcommittee will continue its study of the impact of imports and exports on American employment and on the wage and hour standards affecting American business. Particular emphasis will be given to the automobile industry.

(3) The administration of the Black Lung Benefits Program (title IV of the Federal Coal Mine Health and Safety Act of 1969) will be looked into.

(4) The implementation and impact of the Employee Retirement Income Security Act of 1974 will require considerable and careful study which the Subcommittee expects to undertake.

(5) The Subcommittee also hopes to give some attention to the relationships among the Davis-Bacon, Walsh-Healey and Service Contract Acts.

(6) The operation and assistance by the United States of overseas schools attended by the dependents of U.S. officials and military personnel stationed abroad will continue to be the subject of oversight activities.

SUBCOMMITTEE ON MANPOWER, COMPENSATION, AND HEALTH AND SAFETY

General

The Subcommittee has jurisdiction over the areas of occupational safety and health, compensation and manpower programs, including training, public service employment, unemployment and full employment programs, special unemployment assistance and job placement.

Specific

The Subcommittee plans oversight and investigative activities in the following areas:

(1) Manpower—the Subcommittee is already looking into the administration and implementation of the public service jobs program and the Comprehensive Employment and Training Act with a view to early legislation in this area. It will also conduct investigations into the WIN Program and the job placement provisions of the Wagner-Peyser Act.

(2) Occupational safety and health.

(3) Federal Employees Compensation Act.

(4) The relationship of the Metallic and Nonmetallic Mine Safety Act to the Coal Mine Health and Safety Act and the Occupational Safety and Health Act will be studied.

(5) The operations of private employment agencies will be investigated.

(6) The Longshoremen's and Harbor Workers' Compensation Act.

SUBCOMMITTEE ON SELECT EDUCATION

General

The Subcommittee has diverse jurisdiction over a number of special education programs including such things as education of the handicapped, environmental and alcohol and drug abuse education. It also has jurisdiction over a number of programs providing services to the elderly, the handicapped, the needy, child development, and a variety of programs related to art, culture and libraries.

Specific

(1) The Subcommittee will investigate the applicability of space age research and technology to the needs of handicapped persons.

(2) The Subcommittee will investigate the administrative practices and responsibilities of national, State and local agencies in the administration of social service programs under its jurisdiction.

(3) The Subcommittee will continue the study of applying engineering technology, the use of computers and media devices to a variety of educational programs.

(4) The impact of federal tax laws on the handicapped, the elderly and families in need of child care will be studied.

(5) The Subcommittee will study the quality of the social services being provided by the program under its jurisdiction and conduct a study in depth of the recipients of those services to develop a clear picture of who they are and whether the intended beneficiaries are receiving services as intended.

SUBCOMMITTEE ON POSTSECONDARY EDUCATION

General

The Subcommittee has jurisdiction over education beyond the high school level.

Specific

(1) The Subcommittee will continue its major effort at oversight relating to the student aid provisions of the Higher Education Act which it expects will result in legislation in the first Session of this Congress to improve the operation of the Act, to ease the default problem in student lending and to reduce the degree to which present student financial aid policies encourage tuition increases.

(2) The Subcommittee expects to conduct oversight hearings in furtherance of the Committee's functions under Section 431(d) of the General Education Provisions Act requiring all standards, rules, regulations and requirements of general applicability issued by the Commissioner of Education to be submitted to the Congress forty-five days prior to their effective date during which the Congress, having reviewed the regulations, may return them to the agency for revision.

(3) The Subcommittee intends, in addition, to examine student aid programs in a number of areas where it has secondary jurisdiction to ascertain possible divergences in federal policy toward assistance levels. Among the programs that may be looked into are the student aid programs of the Public Health Service, the Law Enforcement Assistance Administration, the Department of Transportation, the Environmental Protection Agency, the Veterans' Administration, the Bureau of Indian Affairs, the Department of State, the Maritime Commission, the Social Security Administration, the National Science Foundation, the National Endowment for the Humanities and others.

(4) Other possible areas of oversight investigation being considered include consumer protection in postsecondary education and the protection of student athletes.

SUBCOMMITTEE ON EQUAL OPPORTUNITIES

General

The Subcommittee has general responsibility for reviewing the administration and effectiveness of programs authorized under the Economic Opportunity Act; the Juvenile Justice and Delinquency

Prevention Act of 1974; title VII of the Civil Rights Act of 1964; and the Domestic Volunteer Services Act of 1973 as well as other matters related to poverty and equal employment opportunities.

Specific

(1) The Subcommittee plans to oversee implementation of the Headstart, Economic Opportunity and Community Partnership Act of 1974, including the transfers of programs from the Community Services Administration; the effectiveness of the Community Economic Development Program; the provision of services to handicapped children in the Headstart Program; and a study of the impact of the reduction of the federal share for community action programs.

(2) The Subcommittee plans oversight on equal employment opportunities in four general areas: (a) oversight of the Equal Employment Opportunity Commission, particularly its backlog; (b) coordination between federal agencies with employment discrimination enforcement responsibilities; (c) the effectiveness of the Office of Federal Contract Compliance in administering Executive Order 11246 barring employment discrimination by federal contractors; and (d) employment discrimination in federal agencies.

(3) The Subcommittee plans investigation and oversight also into the ACTION Agency's implementation of domestic volunteer programs; the failure of the Law Enforcement Assistance Administration in the Department of Justice to implement the Juvenile Justice and Delinquency Prevention Act of 1974; and the impact of the nation's tax policies on the poor.

SUBCOMMITTEE ON AGRICULTURAL LABOR

General

The Subcommittee has oversight responsibility for all laws which affect migrant and seasonal farmworkers and their dependents.

Specific

(1) The Subcommittee plans to oversee the implementation of the recently enacted amendments to the Farm Labor Contractor Registration Act of 1963 by the Department of Labor.

(2) The Subcommittee plans to review and oversee the policies and practices of the Department of Labor in its certification of the use of offshore agricultural workers and the impact of such certification on the agricultural labor market.

(3) The Subcommittee plans to oversee the transfer from the Department of Labor and the implementation by the Community Services Administration of title III–b, developmental programs for migrant and seasonal farmworkers (Headstart, Economic Opportunity and Community Partnership Act of 1974).

(4) The Subcommittee will review the impact and implementation of provisions of existing laws administered by the Department of Health, Education, and Welfare which affect the health and education of migrant and seasonal farmworkers.

With kindest regards,

Sincerely,

CARL D. PERKINS.

COMMITTEE ON FOREIGN AFFAIRS

HOUSE OF REPRESENTATIVES,
COMMITTEE ON FOREIGN AFFAIRS,
Washington, D.C., February 27, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: Attached is material concerning the oversight activities of the Foreign Affairs Committee which is being provided to you in accord with Clause 2(c) of the Rules of the House for the 94th Congress.

I hope you will find this information responsive to your request as outlined by your staff.

With best wishes, I remain

Sincerely yours,

THOMAS E. MORGAN, *Chairman.*

OVERSIGHT ACTIVITIES OF THE FOREIGN AFFAIRS COMMITTEE, 94TH CONGRESS

The oversight activities of the Foreign Affairs Committee in the 94th Congress will extend over the broad range of international affairs of interest to or connected with the United States. These activities will be pursuant to the responsibilities assigned to the Committee under the House rules. Rule X, 1(i) lists jurisdiction for the Committee starting with "Regulations of the United States with Foreign Nations Generally" and includes 16 further categories. In addition, special oversight functions are provided in Clause 3(d) of Rule X.

By subject grouping, legislation and situations under Committee oversight include: international relations; conduct of foreign policy; international agreements; international and regional security arrangements; interventions abroad; intelligence activities relating to foreign policy; diplomatic privileges and immunities; operations of foreign affairs agencies; foreign humanitarian, food, economic and military assistance; foreign loans; information, scientific, and cultural exchange; arms control; U.S. property abroad; boundary activities; international organizations, conferences and congresses; protection of American citizens and business interests abroad; international economic policy; international financial and monetary organizations; international commodity agreements (other than sugar) and trade; international fishing agreements; customs administration; and international education.

The Committee performs its oversight through activities of the full Committee, a Subcommittee on Oversight, and nine other functional

71-867 O - 76 - 26

subcommittees, utilizing the Committee staff and special studies performed for the Committee or its subcommittees by such organizations as the General Accounting Office, the Congressional Research Service and by special consultants.

Specific oversight activities now underway or planned by the full Committee or Subcommittees include review of:

U.S. interests, policies, aid, and commitments relating to Southeast Asia; POW/MIA issues; Current U.S. role, U.S. commitments and peace efforts relating to the Middle East; Demilitarization in the Middle East; U.S. arms supply policies and activities of U.S. defense contractors in the Persian Gulf area; Palestinian situation; Restrictions on U.S. aid to Turkey; U.S. policy toward Portugal and implications for NATO; Spanish base rights agreement; Panama Canal treaty negotiations; Europe, détente, and U.S. forces; American policy toward Ethiopia; Military assistance, sales and arms transfer programs; Role of military assistance advisory groups; Use of private contract employees for military training overseas; Intelligence activities relating to foreign policy; Nuclear proliferation and compliance with NPT;

U.S. export of nuclear technology; SALT II, MBFR, CCD, and other arms control and disarmament negotiations; Implications of new conventional weapon technology for national security and arms control; Interaction of science and technology with U.S. foreign policy; Executive agreements; Implementation of P.L. 93–148, the War Powers Resolution; Congress' role in foreign policy; Foreign Affairs-related required reports to Congress; Advisory commissions in the foreign policy field; State Department operations; Foreign Building operations; U.S. Information Agency operations; Peace Corps operations; ACDA operations; Foreign service personnel; Foreign Disaster Assistance Programs;

International Aid to the Sahel Region; U.S. aid to the drought-stricken nations of Africa; AID implementation of Congressionally mandated "new directions" in foreign aid policy; U.S.-supported population programs; Implementation of food production assistance; Follow-up to the World Food Conference; Foreign policy aspects of PL 480; Overseas food distribution under PL 480; Use of foreign currency proceeds derived from PL 480; Food policies of countries receiving U.S. food aid; Food problems of developing countries; Accumulation and disposal of local currencies; Overseas housing guaranty program; Operations of Overseas Private Investment Corporation; Operations of Inspector General, Foreign Assistance; International narcotics traffic; Effectiveness of operations of U.N. systems and the U.S.-performance in that connection;

Operations of certain U.N. specialized agencies, including UNESCO; Human Rights, U.S. foreign policy related to human rights, and the U.N. Human Rights Commission; U.N. Environment Program; International Conferences, including the Law of the Sea Conference; Seabed resources; Operations of international banking institutions to which the U.S. contributes; Ex-Im Bank operations; Impact of international monetary issues on the American economy; Performance of the Council on International Economic Policy; Monitoring of foreign investment in U.S. by federal agencies, of American

investments in foreign countries, and the impact on the U.S. economy; International codes of conduct for multinational corporations; Impact of cartels, monopolies and multinational corporations on the economy; International commodity agreements (except sugar); Progress of multilateral trade negotiations; U.S. government-business relations affecting the U.S. position in international trade and investment; Political and economic impact of the world oil crisis;

Impact of the energy crisis on developing countries; International Energy Agency; $25 billion energy safety net; Non-military uses of nuclear energy abroad, including related IAEA activities; Administration of export controls; Status of settled and unsettled foreign claims; Strategic export limitations and operations under trading with the enemy legislation; U.S. policy toward and relationships with South Africa; U.S.-Africa producer-consumer relationships; U.S. policy toward Latin America and the Caribbean; Implementation of legislation authorizing the Tijuana flood control project; U.S.-Canadian arrangements for Great Lakes management; Impact of Canadian actions on U.S. telecommunications; Means for improving efficiency of U.S.-funded international broadcasting; Western hemisphere immigration; Customs administration; External relations of Puerto Rico and the Trust Territory of the Pacific Islands.

The oversight activities listed in this presentation represent what is currently in progress or planned for 1975 and 1976. Further oversight projects will be developed subsequently. Because of the uncertainties in the foreign affairs field, it is impossible to give a complete listing this early in the 94th Congress or to give assurance that some plans may not change as a result of future developments and the need to divert our manpower resources to more urgent projects.

COMMITTEE ON GOVERNMENT OPERATIONS

Although it has some major legislative responsibilities, the primary function of the Committee on Government Operations, as provided in the House rules, is to "review and study, on a continuing basis, the operation of Government activities at all levels with a view to determining their economy and efficiency."

It carries out this responsibility through seven subcommittees, each with jurisdiction over specific agencies and departments.

The Legislation and National Security Subcommittee is assigned responsibility for the Departments of Defense and State, the Central Intelligence Agency, the Arms Control and Disarmament Agency, the General Accounting Office, most functions of the Executive Office of the President, Selective Service, and the Renegotiation Board.

The Intergovernmental Relations and Human Resources Subcommittee watches over the Department of Health, Education, and Welfare, most activities of the Department of Agriculture, the Commodity Credit Corporation, Farm Credit Administration, and Federal Crop Insurance Corporation; the National Science Foundation and all agencies and programs involving interrelationships between the Federal Government and other levels of government, of which the most important is revenue sharing.

The Conservation, Energy, and Natural Resources Subcommittee has responsibility for the Department of the Interior, the Corps of Engineers, the Forest Service, the Environmental Protection Agency and Council on Environmental Quality, and all agencies' energy research and development, including the Rural Electrification Administration and Tennessee Valley Authority.

The Government Activities and Transportation Subcommittee has jurisdiction over the Department of Transportation, Civil Aeronautics Board, Federal Maritime Commission, Interstate Commerce Commission, National Transportation Safety Board, St. Lawrence Seaway Corporation, and National Aeronautics and Space Administration, as well as the General Services Administration, Office of Telecommunications Policy, Federal Property Act, and Federal Property Council.

The Coommerce, Consumer, and Monetary Affairs Subcommittee deals with the Departments of Treasury and Commerce, the Federal Trade Commission, Small Business Administration, Federal Reserve System, Council of Economic Advisers, and the many agencies involved in commerce, consumer, and monetary affairs.

The Manpower and Housing Subcommittee has the Departments of Labor and Housing and Urban Development as its prime responsibility, but also oversees the Veterans' Administration, Civil Service Commission, the Office of Economic Opportunity, and several commissions and boards that operate in the field of manpower and labor relations.

The Government Information and Individual Rights Subcommittee checks on the Justice Department and the Federal courts, the Federal

Communications Commission, U.S. Postal Service, and statutes dealing with freedom of information and the right of privacy, and the agencies that administer them.

Each of these subcommittees has submitted its oversight plans for the 94th Congress in accordance with Rule X, Clause 2(c), and I hereby submit them for inclusion in this report.

JACK BROOKS,
Chairman.

LEGISLATION AND NATIONAL SECURITY SUBCOMMITTEE

Jurisdiction

The subcommittee will maintain oversight of the functions and operations of the Department of Defense, State Department, Agency for International Development, Executive Office of the President, General Accounting Office, Selective Service System, Central Intelligence Agency, Renegotiation Board, and Arms Control and Disarmament Agency.

Department of Defense

Transportation Data Systems and Other GAO Reports; Foreign Troop Training Contracts with Private Corporations; Illegal Contracts for Computer Systems; Recommendations of Commission on Government Procurement; Proper and Efficient Use of Defense Manpower; Further Study of "Parts Standardization in Weapon Systems"; Contracting-Out Policies; Cost Overruns in Defense Procurement.

State-AID

Organizational Deficiencies and Staff Morale; AID Policies in Foreign Assistance; Consolidation of Administrative Support Functions; Collection of Delinquent Debts.

Intelligence

Overlapping and Duplication Among Agencies.

Other Areas

Office of Federal Procurement Policy; Office of Management and Budget—Domestic Council.

JACK BROOKS, *Chairman.*

INTERGOVERNMENTAL RELATIONS AND HUMAN RESOURCES SUBCOMMITTEE

HOUSE OF REPRESENTATIVES,
Washington, D.C., March 7, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, 2157 Rayburn House Office Building, Washington, D.C.

DEAR JACK: In response to your request of February 24, I am enclosing a brief listing of the more significant oversight activities presently contemplated for the 94th Congress. Almost all of these matters are currently under active investigation.

Other matters will no doubt be added to our oversight agenda later on the basis of events taking place during the next two years.

Sincerely,

L. H. FOUNTAIN, *Chairman.*

Enclosure.

Oversight activities presently contemplated during the 94th Congress include investigation and/or study of:

Department of Health, Education, and Welfare

Procedures and resources utilized by the Department of Health, Education, and Welfare in the investigation of fraud and other program irregularities.

Administration of Social Security programs, with particular emphasis on problems involving the Supplemental Security Income (SSI) program.

Administration of the Aid to Families with Dependent Children (AFDC) program.

Administration of the Medicare and Medicaid programs.

Administration of the Guaranteed Student Loan program and other student financial aid programs administered by the Office of Education.

Regulatory policies, procedures and activities of the Food and Drug Administration for assuring the safety and effectiveness of new drugs.

Effectiveness of Federal programs intended to combat cancer and heart diseases.

Possible irregularities in travel expenditures by officials of the Department of Health, Education, and Welfare.

Department of Agriculture

Rural housing operations of the Farmers Home Administration.

Selected aspects of the regulation of commodity futures trading by the Commodity Exchange Authority and successor agencies.

Selected aspects of the administration of the Food Stamp program.

Activities of the Department of Agriculture relating to exports of agricultural commodities.

Intergovernmental Relations

The General Revenue Sharing program established by the State and Local Fiscal Assistance Act of 1972 (P.L. 92–512).

CONSERVATION, ENERGY, AND NATURAL RESOURCES SUBCOMMITTEE

HOUSE OF REPRESENTATIVES,
Washington, D.C., March 3, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, Room 2157, Rayburn Building, Washington, D.C.

DEAR MR. CHAIRMAN: This is in response to your request of February 24 for a relatively concise listing of oversight activities contemplated by the Conservation, Energy, and Natural Resources Subcommittee during the present Congress.

All of the items listed, of course, are subject to approval and priority determination by the Subcommittee when it holds its organizational meeting this month. Your suggestions also are actively solicited.

With kind regards.

Sincerely,

WILLIAM S. MOORHEAD, *Chairman.*

43

Jurisdiction

The Subcommittee maintains oversight of the activities and operations of the following agencies and departments: Environmental Protection Agency, Council on Environmental Quality, Energy Research and Development Administration, Federal Energy Administration, Federal Power Commission, Nuclear Regulatory Commission, Rural Electrification Administration, Tennessee Valley Authority, Department of the Interior, Corps of Engineers, Forest Service, and Indian Claims Commission.

Oversight

Investigative program and priority order subject to approval by subcommittee.

Federal involvement of the above agencies in particular and of the Executive branch in general in the following activities:

1. Development of oil shale deposits and off-shore oil and gas leases;
2. Conversion of power generators to coal and other fuels;
3. New energy sources offering potential major benefits in the near future;
4. Construction of new gasification plants utilizing coal, oil shale and garbage;
5. Solid wastes, including conservation, environmental and energy aspects;
6. Assisting State and local governments to obtain needed information on new, high-benefit energy, conservation and environmental advances which they could adopt;
7. Duplication and overlapping of energy, conservation and environmental operations;
8. National Park concession practices (continue review initiated last session);
9. Pass-through of higher energy costs to consumers by public utilities;
10. Power Rate Increases (Bureau of Reclamation, Central Valley Project, California);
11. Enforcement of Federal Mine Health and Safety Laws;
12. Garrison Diversion Unit, North Dakota;
13. Study of automotive fuel economy;
14. Administration of the Fish and Wildlife Coordination Act; and
15. Other items yet to be determined by future events, GAO reports, Member requests and new developments in past investigations.

GOVERNMENT ACTIVITIES AND TRANSPORTATION SUBCOMMITTEE

HOUSE OF REPRESENTATIVES,
Washington, D.C., March 10, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, 2157 Rayburn House Office Building, Washington, D.C.

DEAR MR. CHAIRMAN: This is in response to your request of February 24, 1975, for a listing of oversight activities contemplated by the

Government Activities and Transportation Subcommittee during the present Congress.

The listed items are, of course, subject to approval and priority determination by the Subcommittee when it holds its organizational meeting.

Sincerely,

WM. J. RANDALL,
Chairman, Government Activities and Transportation Subcommittee.

Enclosure.

Assigned jurisdiction

Transportation Matters.—Department of Transportation and component agencies including the U.S. Coast Guard and Saint Lawrence Seaway Development Corporation; Civil Aeronautics Board; Federal Maritime Commission; Interstate Commerce Commission; National Aeronautics and Space Administration; National Transportation Safety Board.

Government Activities.—General Services Administration; Federal Property Act; Federal Property Council; Office of Telecommunications Policy.

Proposed oversight activities

1. Air transportation of hazardous cargo.
2. Conflicting altitude-control responsibility during aircraft landing approach.
3. Requirements for altitude monitoring avionic equipment in commercial aircraft.
4. Review of certain procurement actions by the Department of Transportation and Federal Aviation Administration involving landing-aid equipment.
5. Coast Guard search and rescue operations.
6. Utilization, operation, and management of the St. Lawrence Seaway.
7. Interstate Commerce Commission responsiveness to rate-change requirements in the public sector.
8. Utilization and disposal of Federal excess and surplus property (real and personal), including negotiated disposals. Consideration of legislation to improve and broaden the Federal programs for donating surplus property and transferring excess property.
9. Extent of compliance with computer procurement and management provisions of section 111 of the Federal Property Act, which provides for the economic and efficient purchase, lease, maintenance, operation, and utilization of automatic data processing equipment by Federal agencies.

COMMERCE, CONSUMER, AND MONETARY AFFAIRS SUBCOMMITTEE

HOUSE OF REPRESENTATIVES,
Washington, D.C., March 11, 1975.

Hon. JACK BROOKS,
Chairman, Government Operations Committee, Rayburn House Office Building, Washington, D.C.

DEAR MR. CHAIRMAN: This is in response to your letter of February 27, 1975, requesting a report from the Commerce, Consumer, and

Monetary Affairs Subcommittee on its oversight agenda for the 94th Congress.

The oversight agenda outlined below establishes areas of potential Subcommittee investigation that I regard as most critical. It is, of course, axiomatic that the interests of subcommittee members or future events might dictate a departure from this agenda.

I. BANKING

(A) Responsibility for the regulation and supervision of federally chartered or federally insured banks, savings and loan associations and other financial institutions has been entrusted to four major agencies: the Federal Reserve Board, the Comptroller of the Currency, the Federal Home Loan Bank Board and the Federal Deposit Insurance Corporation. The alarming increase in the numbers of bank failures, the increase in the numbers of defaulted and foreclosed loans and allegations of unfair and deceptive banking and other financial institution practices suggest the need for a thorough investigation of the efficiency and economy of the Federal banking regulatory apparatus. Certain critics have suggested, for example, that regulatory responsibility is excessively fragmented and that bank examination procedures are inadequate;

(B) Of all the Federal regulatory agencies, the financial regulatory entities seem to operate in a way that fosters a minimum amount of public accountability and a maximum amount of secrecy. An oversight investigation into the efficiency and accessibility of Federal banking agency procedures and practices would seem to be indicated. Of particular concern to the Subcommittee is whether the personnel relationships between the Federal regulatory entities and the institutions they regulate raise conflict-of-interest questions; and consumer information practices and procedures of the Federal banking agencies are adequate.

II. CONSUMER PROTECTION AND INDUSTRIAL CONCENTRATION

The Federal consumer protection apparatus, particularly the Federal Trade Commission's authority to deal with unfair and deceptive acts and practices in commerce, determines, to a large extent, whether the free enterprise system will operate in a manner that is not only efficient but just. Similarly, the success of the free enterprise system depends in large measure on the degree to which Federal programs, such as those of the Commission's Bureau of Competition, foster maximum competition in key industrial areas. Recently, serious questions have been raised about the efficiency of FTC rules and procedures leading to anti-trust actions and the promulgation of trade regulation rules. If Commission rules and procedures impede consumer protection and the resolution of possible anti-competitive practices, then it is incumbent on the Subcommittee to examine apparent deficiencies. Moreover, questions have also been raised regarding the efficiency and economy of FTC operations relative to assuring the truthfulness and integrity of energy and other advertising.

III. FEDERAL GOVERNMENT'S ECONOMIC DECISIONMAKING PROCESS

Fiscal, monetary and regulatory decisions and policies by the Federal Government determine, to a significant extent, the success or failure of

our economic system. Nevertheless, there is enormous proliferation and fragmentation within the economic decision-making processes of government. Serious questions have been raised regarding the ability of our far-flung governmental economic apparatus to meet and be responsive to the challenges of our times. While numerous congressional, executive branch and other outside investigations have focused on the prudence and efficacy of various substantive economic policies, no oversight has been conducted into the organizational apparatus that ultimately formulates economic policy for the United States. Such an investigation is clearly indicated.

IV. INTERNATIONAL TRADE

Our Nation's current difficulties with inflation, recession and shortages in key commodity areas and the increased political and economic importance of international trade, all point up the need for an oversight review of the efficiency and economy of our international trade policies, practices and procedures. The failure of our Federal international trade organizational apparatus to anticipate the effect on American consumers of unbridled shipments abroad of wheat and key feed grains; issues involving trade in strategic materials; and allegations of U.S. governmental complicity in boycotts and blacklisting based on religious heritage, all point up the need for appropriate congressional oversight in this area.

V. SECURITIES AND EXCHANGE COMMISSION/CORPORATE RESPONSIBILITY

Much attention has been devoted by committees of the Congress and industry trade groups to the fair and efficient functioning of our securities and financial market system. As a result of the efforts by the SEC, the stock exchanges and other interested groups, the investing public has been provided with much information and malpractices have been minimized. But the Securities and Exchange Commission has interpreted its legal mandate in a way that tends to exclude the issue of corporate citizenship and corporate responsibility. In an age when many corporations exercise great influences over the daily lives of our citizens and frequently operate as miniature-governments, it is important to examine the SEC's practices and procedures for assuring that corporate decision-making is made in the broad public interest and with appropriate public in-put.

VI. INTERNAL REVENUE SERVICE TAX MATTERS

Several issues involving IRS operations seem to require the oversight attention of the Subcommittee: The first has to do with the uniformity of IRS procedures and standards for the informal settlements of tax claims by and against the Government. The second concerns the efficiency of IRS procedures designed to force compliance with its prohibition against the deductibility of business expenses associated with influencing congressional or other public policies. The third involves the efficiency of IRS services and assistance to tax payers for the reporting and filing of income taxes.

Sincerely,

BENJAMIN S. ROSENTHAL, *Chairman.*

47

MANPOWER AND HOUSING SUBCOMMITTEE

HOUSE OF REPRESENTATIVES,
Washington, D.C., March 6, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, 2157 Rayburn House Office Building, Washington, D.C.

DEAR MR. CHAIRMAN: In accordance with your request of February 24th, I am enclosing a list of proposed investigations by the Manpower and Housing Subcommittee. Two investigations are already under way at the staff level.

The priority that will be assigned to these subject areas will be determined at a Subcommittee meeting to take place later this month. I would add the usual caveat that modifications to any plan will probably be instituted as a result of future developments and information that comes to our attention.

Sincerely yours,

FLOYD V. HICKS, *Chairman.*

Jurisdiction

Department

Department of Housing and Urban Development.
Department of Labor.

Other agencies

Veterans' Administration
Civil Service Commission
Special Action Office for Drug Abuse Prevention
ACTION
Federal Mediation and Conciliation Service
National Labor Relations Board
National Mediation Board
Office of Economic Opportunity
Railroad Retirement Board
Equal Employment Opportunity Commission
Occupational Safety and Health Review Commission

Proposed areas of oversight

1. Housing: Mortgage Industry's adherence to HUD guidelines designed to preclude unnecessary foreclosure on mortgages held by low-income home owners. (Already under way.)

2. The effectiveness of HUD policies and programs for the acquisition, retention and disposition of properties owned by the department.

3. The interrelationship between serious disability claims and safety standards for Federal workers in areas of high risk employment. (Already under way.)

4. Effectiveness of Federally funded State unemployment offices and employment services.

5. Labor Department use and audit of past manpower training contracts.

6. The effectiveness of Government agencies' determination of personnel requirements and the use of non-career employees for temporary requirements.

7. The effectiveness of Federal programs to identify and rehabilitate alcoholic workers. (Follow-up investigation.)

8. Methods used to disseminate effective programs to assist drug abusers.

9. Implementation of recommendations on the Committee's report on "Impact of Heroin Addiction on the Criminal Justice System."

Additional areas are under consideration as a result of Member inquiries posed at the first Subcommittee meeting. Based on past Congresses, it is likely that several areas for investigation will develop over the next few months.

GOVERNMENT INFORMATION AND INDIVIDUAL RIGHTS SUBCOMMITTEE

HOUSE OF REPRESENTATIVES,
Washington, D.C., March 5, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, Room 2157 Rayburn House Office Building, Washington, D.C.

DEAR MR. CHAIRMAN: The attached is in reply to your letter of February 24, 1975, requesting a concise listing of contemplated oversight activities during the 94th Congress by this Subcommittee pursuant to the provisions of House Rule X, clause (2)(c).

A work agenda was discussed and approved at our Subcommittee's organizational meeting on February 19, 1975, which included both oversight and legislative hearings for the next several months. Other oversight work for the remainder of the 94th Congress is projected on the basis of informal discussions among our Members.

With best wishes,

Sincerely,

BELLA S. ABZUG, *Chairwoman.*

Jurisdiction

The Subcommittee maintains oversight and legislative jurisdiction over the activities and operations of all Federal agencies with respect to the Freedom of Information Act (5 U.S.C. 552), the Privacy Act of 1974 (5 U.S.C. 552a), and the Federal Advisory Committee Act (5 U.S.C. App. 1) 86 Stat. 770.

It also maintains oversight jurisdiction over the activities and operations of the U.S. Information Agency, the National Archives and Records Service, the Government Printing Office, the Federal Communications Commission, the U.S. Postal Service, the Department of Justice, the U.S. Courts, the Civil Rights Commission, the Smithsonian Institution, the National Foundation on the Arts and the Humanities, and the American Revolution Bicentennial Administration.

Oversight targets

1. Monitoring and oversight activities involving Federal agencies' implementation of the 1974 Freedom of Information Act amendments (P. L. 93–502).

2. Monitoring and oversight activities involving Federal agencies' implementation of the Privacy Act of 1974 (P. L. 93–579).

3. Completion of work leading to action by Subcommittee and full Committee on draft reports on "Telephone Monitoring Practices of

Federal Agencies" and "Federal Agencies' Use of Polygraphs and Similar Devices." (Based on 1974 investigations and hearings by the Subcommittee.)

4. Preliminary 1-day oversight hearings with new agencies added to the Subcommittee's jurisdiction to acquaint Members with the broad aspects of each agency's programs, operations, personnel, budgetary requirements, and similar general information. These hearings will include testimony from:

U.S. Information Agency
Department of Justice
U.S. Postal Service
Federal Communications Commission
National Archives and Records Service
U.S. Civil Rights Commission
National Foundation on the Arts and Humanities
Smithsonian Institution
American Revolution Bicentennial Administration
U.S. Government Printing Office

5. Review of Federal agencies' collection and dissemination of scientific and technical information, overlapping and duplication of such efforts and their economy and efficiency.

6. Review of the operations of public information offices in key selected Federal agencies, including extent of "contracting out" of agency "public relations" activities.

7. Review of the scope of planned activities and programs of the American Revolution Bicentennial Administration, their economy and efficiency and impact on the Bicentennial Year festivities.

8. Review of the activities of the National Archives and Records Service, with particular reference to their work involving declassification of agency documents, Presidential libraries administration, and the general economy and efficiency of NARS operations.

9. Review of the economy and efficiency of operations of the Federal Communications Commission and their various statutory responsibilities in rate-making, broadcasting, and other fields.

10. Review of the economy and efficiency of operations of the U.S. Information Agency, with reference to their status as an independent arm of the State Department and recommendations in the forthcoming report of the Stanton Commission.

11. Various other in-depth oversight hearings on those agencies listed in paragraph 4 above, depending on information developed during the preliminary orientation hearings, GAO reports, and other future developments that may make some of them high priority areas for oversight activity.

COMMITTEE ON HOUSE ADMINISTRATION

HOUSE OF REPRESENTATIVES,
COMMITTEE ON HOUSE ADMINISTRATION,
Washington, D.C., March 4, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, U.S. House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: Thank you for your letter of February 13, 1975 concerning a report from the Committee on House Administration on oversight activities of this Committee, pursuant to Clause 2(c) of Rule X of the Rules of the House of Representatives.

Because this overview on oversight responsibilities is required at the beginning of the Congress, it should be understood that the Committee may well expand or contract its oversight activities as the need arises. It is now contemplated Committee oversight activities will be organized along subcommittee jurisdictions rather than appointing a special oversight committee. The Committee on House Administration has nine Standing Subcommittees and two Ad Hoc Subcommittees and each will be responsible for oversight in its areas of jurisdiction.

Oversight activities contemplated by Subcommittees are as follows:

The Subcommittee on Accounts carries out the oversight responsibility specified in 2 USC 91 and 95, to ensure the performance of duties by, and to review the remuneration of, officers and employees of the House, and to oversee payments from the contingent fund.

The Subcommittee on Elections carries out the Committee's oversight responsibilities on matters relating to the election of the President, Vice President, and Members of Congress; corrupt practices, contested elections; credentials and qualification; and Federal elections generally.

The Subcommittee on Library and Memorials has oversight responsibilities in matters relating to the Library of Congress and the House Library, statuary and pictures, acceptance and purchase of works of art for the Capitol; the Botanic Gardens; management of the Library of Congress; purchase of books and manuscripts; erection of monuments to the memory of individuals and matters relating to the Smithsonian Institution.

The Subcommittee on Printing has oversight responsibilities dealing with the printing of House documents; the Congressional Record; bills concerning the Government Printing Office, the Depository Library Program and the use of recycled paper in government documents. In addition, the subcommittee will have oversight responsibilities over the implementation of the Presidential Recordings and Materials Preservation Act, monitoring the work of the National

Study Commission on Records and Documents of Federal Officials and considering legislation regarding the disposition of documents of Federal officials.

The Subcommittee on Electrical and Mechanical Office Equipment has responsibility for evaluating and allocating all office equipment used by the House of Representatives as well as procurement programs.

The Subcommittee on Personnel and Police has oversight responsibilities of the classification and evaluation program for the House of Representatives, the Sergeant at Arms, the Doorkeeper, and the Postmaster. The Subcommittee has further oversight responsibilities with regard to the U.S. Capitol Police Board in administering the 1,040 member force of the U.S. Capitol Police. It will also review the security system for the Capitol complex authorized by House Concurrent Resolution 550, 92nd Congress.

The Subcommittee on Contracts has oversight activities over the provisions of section 303 of the Legislative Reorganization Act of 1970, which pertains to the authorization of standing committees of the House to obtain the temporary services of individual consultants or organizations to make studies or advise the committee with respect to any matter within its jurisdiction.

The Subcommittee on Parking is charged with oversight responsibilities regarding vehicle parking facilities and the regulating of parking spaces for Members and House employees.

The Subcommittee on Paper Conservation has oversight responsibility with regard to the distribution and the accumulation of printed material in the House of Representatives.

The Ad Hoc Subcommittee on Computers is charged with oversight responsibilities with regard to the House Information Systems and use of automated data processing equipment.

The Ad Hoc Subcommittee on the Restaurants has oversight responsibilities with regard to the overall food service facilities of the House.

Doug Frost, Staff Director, and Paula Peak, Deputy Staff Director, have been designated as representatives of this Committee to confer with Government Operations Committee staff.

If I can be of any further assistance, please don't hesitate to call on me.

With kind personal regards, I am

Very sincerely yours,

WAYNE L. HAYS, *Chairman.*

COMMITTEE ON INTERIOR AND INSULAR AFFAIRS

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON INTERIOR AND INSULAR AFFAIRS,
Washington, D.C., February 28, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations; 2157 Rayburn House Office Building, Washington, D.C.

DEAR MR. CHAIRMAN: This is in response to your request to provide information on oversight activities contemplated by this Committee during the 94th Congress.

In carrying out both the general oversight responsibilities under Rule X, Clause 2(b), and the special oversight functions under Rule X, Clause 2(e), of the Rules of the House, oversight as well as legislative jurisdiction is assigned under our Committee Rules to seven subcommittees in their respective areas. However, the Full Committee may from time to time initiate oversight inquiries when they appear to involve the jurisdiction of several subcommittees. In addition, the Committee will designate staff representatives to assist the subcommittees in fulfilling their oversight role and to work with the Committee on Government Operations.

Rule X, Clause (1), of the Rules of the House sets forth the jurisdiction of this Committee. Rule 16 of the Rules of the Committee on Interior and Insular Affairs further assigns these areas of general Committee jurisdiction to the respective subcommittees. A copy of the Committee Rules is enclosed.* and you will note on page 9 that the special oversight function with respect to non-military nuclear energy and research and development, including the disposal of nuclear waste, is given to the Subcommittee on Energy and the Environment; and that the special oversight function with respect to all programs affecting Indians goes to the Subcommittee on Indian Affairs.

Exercise of the oversight responsibilities and functions of this Committee were initiated this month by oversight inquiries into the Alaska pipeline construction by the Subcommittee on Public Lands and these are expected to continue. On March 4, oversight hearings will be held by the Subcommittee on Mines and Mining on Bureau of Mines and U.S. Geological Survey programs. On March 5 an orientation meeting with the Secretary of the Interior has been scheduled by the Full Committee. The Full Committee sessions will be followed by hearings March 6, 7, 13, and 14 on national outdoor recreation programs and policies to be held by the Subcommittee on National Parks and Recrea-

*Document available in files of the Committee on Government Operations.

tion. Later, on March 14, an orientation meeting with the Bureau of Reclamation personnel has been scheduled by the Subcommittee on Water and Power Resources.

Although our detailed schedule is not yet complete for the remainder of this Congress, we do contemplate in addition to those areas to which I referred oversight activities by the Subcommittees as follows:

National Parks and Recreation.—The administration of the National Trails Systems Act, the Pennsylvania Avenue Development Plan for the nation's Bicentennial celebration, and concessions in the National Park System.

Water and Power Resources.—The implementation of P.L. 84–984 and P.L. 84–130, having to do with small project loans and distribution system loans; the Interior Department's research program; and the status of feasibility studies that Congress has authorized in recent years.

Energy and the Environment.—Nonmilitary nuclear energy, research and development, and the disposal of nuclear waste.

Territorial and Insular Affairs.—Marianas status negotiations and examination of non-essential elements of the organic acts for Guam and the Virgin Islands.

Mines and Mining.—Strip mining regulations on Federal lands as well as other oversight functions being carried out as adjuncts to hearings on major legislation before the Subcommittee.

Indian Affairs.—The administration of the leasing of Indian trust lands, and tribal governmental problems in general.

Public Lands.—Oil and gas production from public lands (determine extent of "shut-in" capacity); Bureau of Land Management (BLM) and Forest Service mining regulations as they apply to surface protection for public lands; continuing review of practices, regulations, and procedures of BLM and related Forest Service activities; and review of forest and range land renewable resources practices.

In summary, as particularly as may be determined at the present time, the Committee on Interior and Insular Affairs during the 94th Congress may probe into any of its areas of jurisdiction in addition to those already specifically mentioned; and the Committee may defer reviewing some of the jurisdictional areas now being considered for oversight activities. In any event, we look forward to cooperating with the Committee on Government Operations and will keep you advised as our schedule is revised from time to time.

Sincerely yours,

JAMES A. HALEY, *Chairman.*

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COMMITTEE ON INTERSTATE AND FOREIGN COMMERCE

HOUSE OF REPRESENTATIVES,
COMMITTEE ON INTERSTATE AND FOREIGN COMMERCE,
Washington, D.C., February 28, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations,
House of Representatives,
Washington, D.C.

DEAR MR. CHAIRMAN: As required by Rule X 2(c) of the Rules of the House of Representatives, appropriate representatives of the Committee on Interstate and Foreign Commerce have met with representatives of the Committee on Government Operations to discuss the oversight plans of this committee during this Congress.

The Committee will be organized during this Congress into six subcommittees, with jurisdiction as follows:

Subcommittee on Oversight and Investigations

Responsibility for oversight of agencies, departments and all programs within the jurisdiction of the full committee and to conduct such investigations within such jurisdiction. (Note: This subcommittee would not have legislative jurisdiction. The committee's legislative subcommittees would have parallel responsibility to conduct oversight in their assigned areas. Rule X(2)(b) of House Rules.)

Subcommittee on Energy and Power

Energy matters within the jurisdiction of the full committee, and jurisdiction over all petroleum, natural gas, and electrical power issues.

Subcommittee on Communications

Jurisdiction over interstate and foreign communications, including all communications by satellite, broadcast, radio, common carriers, interstate communication by wire and such jurisdiction over communications and media as in the jurisdiction of the full committee.

Subcommittee on Health and the Environment

Responsibility for public health and quarantine; hospital construction; mental health and research; biomedical programs and health protection in general, including medicaid and national health insurance; foods and drugs; and drug abuse.

Jurisdiction over the Clean Air Act, the State Drinking Water Act, the Radiation for Health and Safety Act and environmental protection in general.

Subcommittee on Consumer Protection and Finance

Jurisdiction over consumer protection in general, including toxic substances, product safety, motor vehicle safety, securities and exchanges (the SEC), the regulation of trade (the FTC), and insurance.

Subcommittee on Transportation and Commerce

Jurisdiction over the regulation of travel and tourism, interstate and foreign commerce generally, and all matters related to inland waterways, railroads, railroad retirement, railway labor, solid waste disposal and noise pollution control.

OVERSIGHT ACTIVITIES, 93D CONGRESS

In all programs over which this committee has jurisdiction where it is appropriate to do so, the committee reports legislation to the House which is limited in duration, generally to three fiscal years. This means that at least once every three years, a majority of the programs which this committee is responsible for are reviewed, during the process of committee consideration of legislation extending the duration of the programs. A listing of these programs which were within the committee's jurisdiction during the 93d Congress is set forth on pages 110–238 of the committee's activity report covering the 93d Congress (H. Rept. 93–1668).

In addition, each of the legislative subcommittees of the full committee held legislative oversight hearings during the 93d Congress on one or more matters within the subcommittee's jurisdiction. These hearings covered the Florida power interruption, the Civil Aeronautics Board, Independent truckers and the energy crisis, the National Highway Traffic Safety, the Motor Vehicle Information and Cost Savings Act, the Consumer Product Safety Commission, HEW health programs, regional medical programs, Community Mental Health Centers, Public Health Service Hospitals, HEW Reorganization, Clean Air Act, Drug Abuse, Motor Vehicle standards and fuel economy, national health care and hospital rate regulation and Phase IV cost controls for health services.

In addition to the foregoing, the Special Subcommittee on Investigations conducted numerous oversight activities, summarized on pages 61 through 70 of the committee's activity report (H. Rept. 93–1668), and held hearings on the subjects of freight car shortages, SEC transfer of ITT files to the Justice Department, ex parte contacts with the SEC, the liquefied natural gas tank disaster on Staten Island, FTC practices and procedures, FAA air safety oversight, FAA-transportation of hazardous materials, FAA-reliability of "drilled" turbine fan blades on CF–6 Engine, FAA-Ground Proximity Warning System, FPC re GAO report on gas rates, and an inquiry into CAB rate increases.

I anticipate that similar activities will be engaged in by the subcommittee during the coming Congress.

ANTICIPATED OVERSIGHT ACTIVITIES, 94TH CONGRESS

During the 94th Congress, I anticipate that the Committee, either as a whole, or through one or more of its subcommittees, will engage

in oversight activities, including hearings, involving the Federal Communications Commission, the Office of Telecommunications Policy, the communications satellite program, energy, health care costs, HEW health programs, both generally and specifically, the administration of laws by the independent regulatory agencies over which the committee has jurisdiction, problems involving the railroads, specifically the problems facing the Penn Central and other northeast railroads, responsibility for public health and health protection in general, including hospital construction; health manpower; nurse training and nursing home construction; mental health; biomedical research; drug abuse; health services programs; the Public Health Service; Indian health; laws affecting foods, drugs, cosmetics and medical devices; Medicaid; and national health insurance proposals funded by revenues not derived from payroll deductions, among others.

It is, of course, too early in this session of the Congress to determine what the full scope of oversight activities by the committee and its subcommittees will be; however, based upon the past, I would anticipate that there will be some degree of oversight activities covering most of the programs within the committee's jurisdiction, and oversight hearings covering a substantial number of them.

Sincerely yours,

HARLEY O. STAGGERS,
Chairman.

COMMITTEE ON THE JUDICIARY

HOUSE OF REPRESENTATIVES,
COMMITTEE ON THE JUDICIARY,
Washington, D.C., March 3, 1975.

HON. JACK BROOKS,
Chairman, Committee on Government Operations, House of Representatives, Washington, D.C.

DEAR JACK: In accordance with Clause 2(c) of Rule X of the Rules of the House and staff discussions, I enclose the oversight program of the Committee on the Judiciary for the 94th Congress. Each subcommittee will exercise oversight responsibilities within its area of jurisdiction.

The enclosed oversight program sets forth general oversight jurisdiction of each subcommittee as well as specific oversight projects proposed to be undertaken by each subcommittee. It is possible that additional oversight projects within the jurisdiction of the Committee may be undertaken, and also that some projects may be deferred or not be considered during the 94th Congress.

Kind regards.

Sincerely,

PETER W. RODINO, JR., *Chairman.*

Enclosure.

SUBCOMMITTEE ON IMMIGRATION, CITIZENSHIP, AND INTERNATIONAL LAW

The Subcommittee is responsible for reviewing on a continuing basis the administration of the Immigration and Nationality Act by the Departments of State, Justice, and Labor. Several hearings were conducted during the 92nd and 93rd Congresses to review the operation of this Act including pertinent regulations, operating instructions, and interpretations of that Act which have been promulgated by the Executive Branch. The Subcommittee expects to continue to closely monitor the implementation of this basic immigration law and will attempt to identify problems which have developed in the administration of this law.

The Subcommittee also intends to review the operation of the Submerged Lands Act and the administration of the Outer Continental Shelf Lands Act which it originally processed in 1953. Preliminary hearings were conducted in the second session of the 93rd Congress and additional hearings are planned in order to determine whether amendments to this basic legislation are required. The administration of this Act has become particularly important in view of the Administration's plans to accelerate the leasing of oil and gas on the Outer Continental Shelf.

The Subcommittee plans to conduct a comprehensive investigation of the foreign student issue. This includes the issuance of student visas to aliens, the role of the educational institutions in the visa issuance process, the efforts of the Immigration and Naturalization Service to monitor the foreign student program, the procedures for granting off-campus and summer work permission to foreign students, the approval and withdrawal of approval for educational institutions receiving foreign students, and a variety of other problems closely associated with the foreign student program.

The Subcommittee will closely scrutinize the various refugee problems which have developed around the world and will conduct hearings to review the operation of the Migration and Refugee Assistance Act of 1962. In addition, the Subcommittee will study the relationship between the 1962 law and the emergent refugee problems which have developed in various countries (i.e., Soviet Jews, Chilean refugees, Haitian refugees, refugees from mainland China). In this regard, the Subcommittee intends to review procedures for the admission of refugees to the United States as well as programs which have been established for the movement and resettlement of various categories of refugees.

Another topic which will be pursued by the Subcommittee in this Congress is the operation of the labor certification program prescribed in Section 212(a)(14) of the Immigration and Nationality Act. The Subcommittee is expected to hold several hearings to consider the utility of the labor certification requirement as well as its implementation by the Departments of Justice and Labor.

Finally, the Subcommittee will study the provisions of the Immigration and Nationality Act relating to the exclusion and deportation of those who will or have become public charges.

The aforementioned oversight projects are those which the Subcommittee intends to carry out at the present time.

SUBCOMMITTEE ON ADMINISTRATIVE LAW AND GOVERNMENTAL RELATIONS

The oversight jurisdiction of the Subcommittee over the Department of Justice relates primarily to the Civil Division, with emphasis on those actvities involving torts, claims by and against the Government, and contracts. Justice Department oversight also includes lands division activity, with reference to the recently-enacted law providing jurisdiction in the Federal courts to try land titles involving the United States. The claims jurisdiction of the Subcommittee requires oversight over the administration of the claims statutes by executive departments and agencies, including the military departments and their operations both in this country and abroad. Also included in its responsibility is oversight of the Secret Service relating to protection of the President and other persons. Incident to its jurisdiction over legislation relating to the termination of National Emergencies, the Subcommittee has oversight over the administration of operation of the various agencies of Government under emergency statutes, with particular reference to the Department of Defense and the Treasury Department. Under its jurisdiction over administrative law, the Subcommittee will be required to exercise jurisdiction over those depart-

ments and agencies operating under the Administrative Procedure Act and other functions falling within the area of administrative law.

The Subcommittee contemplates a long-term examination of the process of adjudication and decision-making in Government in the area of administrative law and practice. This will include an examination of the current application of the Administrative Procedure Act but will extend beyond that to a basic analysis of adjudication and settlement. Under multiple laws, the agencies and departments of Government settle claims arising from Government activity. This too will be a continuing study with the immediate examination relating to the Tort Claims Act. The emergency powers operations of Government are of immediate concern to the subcommittee and will be the subject of examination in the near future.

SUBCOMMITTEE ON COURTS, CIVIL LIBERTIES, AND THE ADMINISTRATION OF JUSTICE

Pursuant to jurisdiction assigned by Rule VI of the Committee's Rules of Procedure, the Subcommittee plans to exercise general oversight in the 94th Congress with regard to the Federal Bureau of Prisons, the Patent Office, the Copyright Office, the Federal Court System, the Presidential Clemency Board, and Government agencies conducting surveillance of American citizens. Specific oversight projects now being planned or already initiated include Bureau of Prisons Construction Plans and Behavior Modification Program; Federal Prison Industries; the Presidential Clemency Board; electronic surveillance by Federal agencies and the Justice Department pilot project on pretrial diversion.

Specific legislative measures to be considered will include a variety of proposed improvements in the corrections systems, a copyright law revision, and a variety of proposals to improve the Federal Court System.

It must, of course, be understood that the foregoing is a highly tentative estimate, subject to change with changes in the legislative scene. This may include removal of subjects from consideration as well as the addition of further areas of study.

SUBCOMMITTEE ON CIVIL AND CONSTITUTIONAL RIGHTS

The Subcommittee on Civil and Constitutional Rights has been assigned oversight responsibilities for the Federal Bureau of Investigation, the Civil Rights Division of the Department of Justice and the Community Relations Service.

The Subcommittee has undertaken and is presently pursuing the following oversight projects:

1. The Operations of the FBI

Hearings, staff and GAO studies are underway to determine the economy, efficiency, and effectiveness of the FBI. The areas of concentration at the moment are:

(*a*) the counterintelligence programs;
(*b*) information gathering and record keeping activities;
(*c*) statistical reporting systems and procedures;
(*d*) the authority underlying all FBI activities.

2. Civil Rights Oversight

(*a*) Staff studies and hearings are underway relative to the enforcement of the civil rights provisions of the act commonly known as General Revenue Sharing.

(*b*) Oversight is continuing in the areas of Federal employment problems of Spanish-speaking Americans and particularly in the area of enforcement of the Voting Rights Act by the Civil Rights Division of the Department of Justice.

(*c*) Oversight is also continuing in the area of equal housing opportunities and in the enforcement of Title VI of the Civil Rights Act of 1964 in programs receiving medicare and medicaid funds.

SUBCOMMITTEE ON MONOPOLIES AND COMMERCIAL LAW

The Monopolies and Commercial Law Subcommittee has general oversight responsibilities in the field of enforcement of the antitrust laws. This includes the activities of the antitrust division of the Department of Justice and the Federal Trade Commission, as well as a variety of other agencies responsible for the administration of programs and policies within the framework of antitrust enforcement or embodying exemptions from the antitrust laws.

The Subcommittee envisions major hearings this year on the enforcement of the antitrust laws in the general field of development and distribution of energy resources. These hearings will focus specifically on the problems posed by the emergence of so-called "energy conglomerates". The Subcommittee further anticipates review of the application of the new criminal provisions of the antitrust laws enacted by the previous Congress, a study of the need for expansion of the power of the antitrust division under the Antitrust Civil Process Act, and a general review of the interplay between private and governmental (including both state and federal) enforcement of the antitrust laws.

SUBCOMMITTEE ON CRIME

The Subcommittee on Crime has oversight jurisdiction over the law Enforcement Assistance Administration and the Drug Enforcement Administration. The Subcommittee will exercise its responsibility with respect to LEAA beginning in midyear 1975. The staff is presently investigating the following areas for LEAA oversight hearings: LEAA and its response to the problems of state courts, law enforcement and corrections; effectiveness of block and discretionary grant programs; long-term impact of Law Enforcement Assistance grants; and evaluating the results of LEAA programs.

With respect to the Drug Enforcement Administration, the Subcommittee staff is reviewing the following areas for oversight hearings: jurisdictional problems in the Drug Enforcement between DEA and Customs; and effectiveness of DEA overseas operations.

In addition to the above areas, the Subcommittee may consider other possible subjects for oversight hearings. The final decision awaits review by the Subcommittee.

61

SUBCOMMITTEE ON CRIMINAL JUSTICE

The Criminal Justice Subcommittee has been assigned oversight responsibilities for the activities of the Justice Department's Criminal Division. The Subcommittee has asked Acting Assistant Attorney General John C. Keeney to prepare a report on the organization and operation of the Criminal Division.

The Subcommittee is meeting on March 12 to review this report. At that time, the Subcommittee will decide what areas of Criminal Division activities to look into. There has been interest expressed in reviewing the exercise of prosecutorial discretion in conspiracy prosecutions and in reviewing the use of the witness immunity provisions of Title 18. Oversight hearings in both of these areas would be carried out in conjunction with the Subcommittee's work on criminal code reform legislation.

The Criminal Justice Subcommittee will have to maintain close liaison with the Subcommittee on Courts, Civil Liberties, and the Administration of Justice, which has oversight responsibility for the activities of U.S. Attorneys. Prosecutions under many of the statutes that the Criminal Division has jurisdiction over are carried out by U.S. Attorneys. Thus, the Criminal Justice Subcommittee's oversight activities may overlap those of the Subcommittee on Courts, Civil Liberties, and the Administration of Justice.

COMMITTEE ON MERCHANT MARINE AND FISHERIES

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON MERCHANT MARINE AND FISHERIES,
Washington, D.C., February 28, 1975.

Hon. JACK BROOKS,
Chairman, House Government Operations Committee, 2157 Rayburn House Office Building, Washington, D.C.

DEAR MR. CHAIRMAN: This is in reply to your letter of February 13, 1975, in which you requested a list of oversight activities contemplated by the Committee on Merchant Marine and Fisheries during the present Congress. The information is needed in order to enable you to fulfill your responsibilities under Clause 2(c) of Rule X of the Rules of the House.

In adopting its Committee Rules for the 94th Congress, the Committee on Merchant Marine and Fisheries has specifically incorporated by reference the oversight provisions of the House Rules. In performing its oversight functions, the Committee has elected to operate through its regular subcommittees without the establishment of a Subcommittee on Oversight. Each Subcommittee has subsequently developed plans for performing oversight in its own area of jurisdiction.

I am sure that you will realize that our present oversight plans, while generally complete as we see them at this time, will necessarily be subject to change with changing circumstances during the course of the next two years. Furthermore, changes in priority may cause adjustments in future activities. Subject to that caveat, the Committee oversight plans are reasonably firm and are listed in the attached material, divided generally into areas of Subcommittee activity. I should point out in that connection that, in addition to the specific listings, two of the Subcommittees perform general agency oversight in the consideration of annual authorization bills involving the Maritime Administration and the Coast Guard.

I trust that the material as presented is consistent with your requirements.

Sincerely,

LEONOR K. (MRS. JOHN B.) SULLIVAN,
Chairman.

A. SUBCOMMITTEE ON COAST GUARD AND NAVIGATION

1. Marine safety generally, including measures relating to commercial vessel construction, loadlines, navigational rules and personnel licenses, and recreational boating construction standards and operations.

2. Marine traffic management, and particularly vessel traffic systems in U.S. navigable waters.
3. Pollution control measures, including specifically tank vessel construction and operation.
4. Marine law enforcement generally, including anti-smuggling, offshore fisheries laws and treaties, and ocean dumping, as well as the implementation of the Deep Water Port Act of 1974 as it relates to safety and anti-pollution measures in particular.
5. Coast Guard procurement practices.

B. SUBCOMMITTEE ON FISHERIES AND WILDLIFE CONSERVATION AND THE ENVIRONMENT

1. Commercial fishing generally, and the implementation of fishing management practices.
2. National wildlife refuge administration.
3. Implementation of fishing treaties and conventions, including agreements on coastal fisheries, high seas salmon fisheries, and shrimp fisheries in foreign waters.
4. Implementation of various laws, including—
National Environmental Policy Act of 1969
Marine Mammal Protection Act of 1972
Endangered Species Act of 1973
Migratory Bird Acts
Fish and Wildlife Coordination Act
Wetlands Acquisition Act of 1961
Fishermen's Protection Act of 1967
and various laws related to conservation programs.

C. SUBCOMMITTEE ON MERCHANT MARINE

1. Maritime Administration generally, and the Federal Maritime Commission.
2. Maritime education and training.
3. Maritime research and development.
4. Maintenance of the National Defense Reserve Fleet.
5. Financial responsibility requirements for foreign vessels operating in United States waters.
6. Implementation of the Merchant Marine Act, 1936, as amended, relating particularly to construction subsidy funds, negotiated contract of subsidized ship construction, operating subsidy funds, the loan guarantee program, and the war risk insurance program.
7. Implementation of the Shipping Act, 1916, as amended, relating particularly to conference activities, dual rate contract activities, the licensing and regulation of ocean freight forwarders.

D. SUBCOMMITTEE ON OCEANOGRAPHY

1. Marine resource development, including Outer Continental Shelf resources and the impact of their exploitation on the marine environment.
2. Oceanographic research generally, including adequate safety measures for oceanographic research vessels and platforms.

3. National Advisory Committee on Oceans and Atmosphere, and the implementation of its recommendations.
4. Implementation of the Marine Protection, Research, and Sanctuaries Act of 1972, particularly in relation to alternatives for solid waste disposal in ocean areas.
5. Implementation of the Coastal Zone Management Act of 1972, particularly in its relation to activities on the Outer Continental Shelf and the impact of those activities on coastal states.
6. Implementation of the Sea Grant College and Program Act of 1966.

E. SUBCOMMITTEE ON THE PANAMA CANAL

1. Personnel policies of the Panama Canal Company and the Canal Zone Government.
2. Civil operations of the Canal Zone Government.
3. Tolls, toll structures, and financial management of the Canal.
4. The relationship of the Panama Canal to world shipping and to national security.
5. Implementation of the Coastal Zone Management Act of 1972.
6. Labor-management relations in the Canal Zone.
7. Implications of treaty negotiations on future Canal Zone operations.

COMMITTEE ON POST OFFICE AND CIVIL SERVICE

U.S. House of Representatives,
Committee on Post Office and Civil Service,
Washington, D.C., February 25, 1975.

Hon. Jack Brooks,
Chairman, Committee on Government Operations, House of Representatives, Washington, D.C.

Dear Mr. Chairman: As requested by your letter of February 13, 1975, there is attached the report of the Post Office and Civil Service Committee listing the oversight activities contemplated by the Committee during the 94th Congress.

With kindest regards, I am

Sincerely yours,

David N. Henderson, *Chairman.*

Enclosure.

LEGISLATIVE OVERSIGHT ACTIVITIES PROPOSED FOR THE 94TH CONGRESS

Committee Organization

Rule 20 of the Rules of the Post Office and Civil Service Committee establishes six subcommittees, each with both legislative and oversight responsibilities for the matters under their respective jurisdictions, as provided under Committee Rule 21. In addition, Rule 20 authorizes the Chairman, or the Committee by a majority vote, to establish special or ad hoc investigative subcommittees and assign to them such jurisdiction as the Chairman of the Committee deems necessary. No special or ad hoc investigative subcommittee has been established at this time.

Scope of Oversight Responsibilities

The Committee has continuing oversight responsibilities, under House Rule X(o), over the United States Census, United States Postal Service, Postal Rate Commissions, and the United States Civil Service Commission, and the programs administered by the agencies involved. In the case of the Civil Service Commission, this includes the Federal Civil Service and the competitive Civil Service generally, Federal employee pay and fringe benefit matters, including Civil Service retirement, life and health insurance programs; employee political rights (Hatch Act matters); and the intergovernmental Personnel Programs.

Oversight Program for the 94th Congress

The Committee, acting through the six subcommittees, has adopted an oversight program on the subject matters outlined below:

Manpower and Civil Service Subcommittee

1. Violations and abuses of the Federal Civil Service merit principles, including examination and recruitment for high level positions; relationship between career Civil Service and political appointees; review and evaluation of agency controls to insure compliance with the merit system; and effectiveness of the controls for determining whether particular positions should be exempted from the competitive service.

2. The system of examining and issuance of certificates of eligibility for competitive Civil Service positions and the use of the three top eligibles for such certificates of eligibility.

3. The ranking of positions under the Executive Salary Schedule (5 U.S.C. 5311–5317).

4. Personnel and pay systems of the Panama Canal Company and their relationship to personnel and pay systems for employees of other executive departments in the Canal Zone.

5. The impact of personnel systems and pay policies on employees of the scheduled disestablishment of Headquarters Pacific Air Forces and U.S. Army Headquarters Pacific.

6. Civilian manpower utilization studies, including the review system for determining "in house" versus technical support service contract requirements; the use of statutory personnel ceilings versus effective dollar economies; and the proper use of civilians in positions occupied in the Department of Defense by military personnel.

Postal Service Subcommittee

1. The financial status of the United States Postal Service, including proposals for increased appropriations for subsidies; the use of bond revenues for operating expenses; and the allocation of cost between the various postal services.

2. Review of the function and operation of the Board of Governors of the Postal Service.

3. Review of the organization and operation of the United States Postal Rate Commission, including the hearing procedures; appointment and qualifications of the Commissioners; and the authority of the Commission to prescribe the procedure and information to be furnished by the Postal Service in a postal rate or classification hearing.

4. A review of the application of the Private Express Statutes.

5. Review of the standards and methods of delivery of the United States mail and the handling of military mail; and review of postal-related services, including the sale of envelopes and packing materials.

Postal Facilities, Mail, and Labor Management Subcommittee

1. Review of the labor-management issues in the Postal Service, including the right to strike, uniformity in labor relations, an arbitration board system to settle disputes with postal supervisors, and safety programs for postal employees.

2. Review of the Letter Carrier Route Evaluation System and the system for central mark-up of mail.

3. A review of the postal facilities improvement and mechanization program and the real estate acquisition policies.

4. A review of the mailability of particular mail matter, including obscene material, lottery information, and unsolicited drugs.

5. A review of the program for the standardization of envelopes, and size and weight limits for parcels.

6. The impact on the United States mails of the electronic transmission of information.

7. Review of the program for acquisition of data processing equipment.

Retirement and Employee Benefits Subcommittee

1. Review of the financial condition of the Civil Service Retirement Fund and the procedures of investing the current surplus funds.

2. A review to compare the Federal Employees' Life Insurance Program benefits and costs with comparable program benefits and costs in private industry.

3. A review of the pay comparability system used for adjusting the pay of Federal employees under the statutory salary systems.

4. A review of certain matters related to the Health Benefits Program, including inequities in benefits and costs arising because of certain restrictions in State laws; the advisability of extending the program to include coverage by additional insurance companies on the basis of competitive bidding; a review of the administration of the program by the Civil Service Commission; and the feasiblity of converting the program to a Federally owned and operated program.

Employee Political Rights and Intergovernmental Programs Subcommittee

1. A review of the political rights of Federal employees under the Hatch Act and the administration of that Act by the Civil Service Commission.

2. Review of the administration and the operation of the Intergovernmental Personnel Program, including the adequacy of the present limitations on the grant-in-aid authority; the exchange of Federal and State employees; and Equal Employment Opportunity in local personnel systems.

Census and Population Subcommittee

1. A review of the plans of the Bureau of Census for the 1980 census program, including the protection and the confidentiality of the census information.

2. A review of the statistics collection program of the Bureau of Census, including the collection of unemployment statistics.

Future Oversight Review Programs

The Committee has the policy of reviewing recommendations involving the agencies under our oversight jurisdiction included in General Accounting Office reports. Also, the Committee is continually interested in current reports issued by the Civil Service Commission on the operations of the Civil Service by agencies of the Executive Branch and of operations under the retirement and life insurance programs. Any one of these matters may result in additional programs that would be proper for a legislative review by one of our subcommittees at any time during the period covered by this report.

Also, the Committee will continue to exercise its legislative oversight function with regard to any matter under the Committee's jurisdiction involving circumstances justifying a review by the Committee during the 94th Congress.

COMMITTEE ON PUBLIC WORKS AND TRANSPORTATION

HOUSE OF REPRESENTATIVES,
COMMITTEE ON PUBLIC WORKS AND TRANSPORTATION,
Washington, D.C., March 3, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations,
House of Representatives, Washington, D.C.

DEAR JACK: Enclosed is a memorandum of information in response to your recent request for the Committee on Public Works and Transportation's oversight responsibilities and activities.

I trust this information will be helpful to you and that you will contact me if I can supply you with any additional information or be of assistance to you in any way.

With every good wish and warm personal regards,

Sincerely,

ROBERT E. JONES, *Chairman.*

Enclosure.

MEMORANDUM

Subject: Oversight Activities of the Committee on Public Works and Transportation, 94th Congress.

I. *Mechanics of Oversight.*—The Committee has had, since September 15, 1959, a fully functional Subcommittee on Investigations and Review. This subcommittee is comprised of 22 members and has a staff of 19. This subcommittee and the appropriate subcommittee with legislative authority cooperatively review and study, on a continuing basis, the application, administration, execution, and effectiveness of those laws, or parts of laws, within the Committee's jurisdiction. The oversight may be carried out by the Subcommittee on Investigations and Review, by the legislative subcommittee or both. In similar fashion, the Federal agencies and entities having responsibilities for the administration and execution of these laws are reviewed in order to determine whether such laws and the programs thereunder are being implemented and carried out in accordance with the intent of Congress and whether such programs should be continued, curtailed, modified or eliminated.

II. *General Outline of Oversight Responsibilities.*—The Committee has oversight responsibilities in the following general program areas: National transportation policy; civil aviation, including Airport Development and the activities of the Civil Aeronautics Board, the Federal Aviation Administration, and the National Transportation Safety Board; surface transportation, including highways, mass

transportation, highway motor carrier and motor vehicle safety, and the activities of the Interstate Commerce Commission; development of the nation's water resources, including water pollution control, deep water ports, the activities of the U.S. Army Corps of Engineers, the St. Lawrence Seaway Development Corporation and the Tennessee Valley Authority; the Economic Development Administration and related economic development programs, including Appalachian regional development; watershed program of the Soil Conservation Service; public buildings and grounds; uniform relocation assistance; and disaster relief.

III. *Likely Areas of Concentration in the 94th Congress.*—Implementation of Federal Water Pollution Control Program, highway and air safety, transportation regulatory reform, construction overruns, water resources project evaluation, disaster relief, relocation assistance program, public mass transportation, and preconstruction delays.

IV. It should be noted that the above statements are general in nature and are intended to be neither all inclusive nor unchangeable. It is possible, if not likely, that the course of events during the next two years will cause the Committee to apply its oversight capabilities in areas not specifically foreseen at this time and to place less emphasis than is now anticipated on areas mentioned herein.

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COMMITTEE ON RULES

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON RULES,
Washington, D.C., February 28, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, U.S. House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: Chairman Madden is happy to submit the following information in line with your request for certain plans for operation of the House Committee on Rules for 1975.

Although committee rules have been adopted and the House Rules Committee is functioning, the issue of additional staff has been postponed and the Committee has not decided to operate with subcommittees to date. The Rules Committee is exempt from the requirement to form subcommittees. However, the jurisdiction and responsibility of the Rules Committee has been broadened considerably by the new changes in the House Rules.

One of the most important new assignments of the House Rules Committee is its general oversight responsibilities which it has never had before. "Each standing committee . . . shall review and study, on a continuing basis, the application, administration, execution, and effectiveness of those laws, or parts of laws, the subject matter of which is within the jurisdiction of that committee, and the organization and operation of the Federal agencies . . . In addition, each such committee shall review and study any conditions or circumstances which may indicate the necessity or desirability of enacting new or additional legislation . . ."

This oversight function clearly includes the Legislative Reorganization Act of 1970 and the Congressional Budget and Impoundment Control Act of 1974, which this Committee wrote. It also includes oversight of Bolling Resolution, H. Res. 988.

(a) The new Rules give the House Committee on Rules the responsibility for emergency waivers of the required reporting date for bills and resolutions authorizing new budget authority. This means that the Rules Committee should follow the new legislative Budget Committee in its progress very closely on a continuous basis in order to be in a position of expediting its operations in case of difficulties with the other legislative committees, the other body, or in other possible situations which may arise to cause the House Budget Committee to be inoperative.

(b) The Joint Committee on Congressional Operations is assigned the responsibility of conducting a continuous study of the jurisdiction of the various standing committees of the House and must report

periodically its results to the House Committee on Rules. It is incumbent upon the House Committee on Rules to consider these studies and recommendations relative to updating the jurisdictions of the various standing committees. Evidently, there is a continuing need in this area. For example, H.R. 2633, a bill to increase domestic energy supplies and availability, was referred to four different committees under the new rules. This will not simplify a hearing before the Rules Committee if or when the Armed Services, Interstate and Foreign Commerce, Ways and Means, and the Banking, Currency, and Housing Committees testify on this measure. Some legislation has been referred to five committees.

(c) These Rules changes and specific assignments, along with the nature of the overall across-the-board consideration for rules on every conceivable subject from twenty legislative committees, seem to put the House Rules Committee in a position of monitoring or performing a broad oversight function—especially as it relates to the legislative budget operations, the Joint Committee on Congressional Operations, and perhaps other pressing issues that are disturbing our country. This latter responsibility seems to be tied in with the authority of the House Rules Committee to discharge other committees on issues of national or international consequences which are bogged down somewhere along the legislative process.

The Chairman and the Committee staff are happy to cooperate with you in this undertaking and hope that the above information is appropriate to your request.

Best personal regards.

Sincerely,

L. C. Battle, *Staff Director.*

COMMITTEE ON SCIENCE AND TECHNOLOGY

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON SCIENCE AND TECHNOLOGY,
Washington, D.C., February 28, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: In response to your letter of February 13, I am reporting the oversight activities contemplated by the Committee on Science and Technology during the 94th Congress.

Oversight is a responsibility of the Legislative branch which the Committee on Science and Technology takes very seriously. A continuing review of the administration, execution and effectiveness of the federal agencies and laws enacted for which this Committee has been given responsibility is carried out by the Subcommittees when there are well defined areas of jurisdiction. Where there is overlap of jurisdictions, oversight is retained for full Committee action.

General oversight activities of the Committee include a continuing review of the National Aeronautics and Space Administration, the National Science Foundation, the National Bureau of Standards, the non-nuclear portion of the Energy Research and Development Administration and the Research and Development programs of the Environmental Protection Agency. In addition, the Committee Reform Amendment of 1974 gave the Committee on Science and Technology the responsibility of Special Oversight over all non-military research and development. This is a comprehensive responsibility which the Committee intends to exercise aggressively and yet wisely.

Specific oversight reviews and inquiries are planned in the following areas of primary and special oversight jurisdictions.

SPACE

International cooperative programs in Space.
Need for international agreements and conventions to regularize commercial space activities
Need to provide body of law consistent with multinational space related needs
NASA Operations including:
- Contracting procedures and approaches
- Institutional Support Contracting
- Facilities utilization and consolidation
- Recruiting, training and retention practices

NASA Management including:
- The "lead center" management concept for the Space Shuttle
- Planning, organization, direction and control of programs and institutions
- Procurement management

NASA Programs including:
- Space Shuttle, Viking, LandSat, ATS
- Tracking and Data Relay Satellite
- Program planning and control techniques
- Future programs—plans, opportunities and alternative objectives.

AVIATION

Agency duplication in Aviation R&D programs and facilities.
FAA and NASA R&D programs: objectives and content.
Aviation Safety R&D.
Advanced Aircraft Systems: Subsonic, Supersonic and Hypersonic.
Aviation Military Aeronautical R&D Relationships.
Air Traffic control: Long Term technology needs.
National Aeronautical R&D Facilities Program.
Alternative Aviation Fuels and fuel conservation technology.
Microwave Landing System: Technology issues and status.
Airport design and development.

SCIENCE

National Science Foundation:
- Research Applied to National Needs: Program users and utility of programs. Analysis of grant methodology of basic research projects
- Science Education programs and cutback effects

Environmental data handling systems
- R&D incentive program and its application

Development of a National Science Policy, including the planning and organizational structure for handling Federal R&D as well as science advice to the President
Strengthening the national economy through the utility of Research and Development
Application of Science and Technology to Urban Problems
Materials Shortages and Materials Research and Development
Technology Transfer and International Trade
American-Soviet Technology Transfer
American-Soviet Science Cooperation
Science in China
Federal/local relations in Science and Technology

ENVIRONMENT

Adequacy of inter-agency coordination in environmental R&D
Long term effects on climate and health by man-made alterations of physical and chemical characteristics of the atmosphere—including ozone depletion
Ocean dumping and its effects on marine biology

Long term effects of low level pollution of air and water
Environmental data handling systems
Staffing and direction of Federal laboratories engaged in environmental research and development
Correlation of EPA research and development activities with regulatory functions prescribed by several statutes
Evaluation of reorganization of EPA's Office of Research and Development
Development of environmental monitoring devices—including those for use in aircraft and satellites
Roles of industry and universities in environmental research and development

ENERGY

Energy Research and Development Administration:
- Management and the planning, organization, direction and control of programs
- Facilities utilization and facilities litigation

Energy R&D programs of other Agencies—including EPA, NSF, NASA, and the Departments of the Interior, Agriculture, Transportation, Commerce and Defense (non-military)
Through review of energy R&D laws:
- Public Law 93–409 The Solar Heating and Cooling Demonstration Act
- Public Law 93–410 The Geothermal Research, Development and Demonstration Act
- Public Law 93–473 The Solar Energy Research Development and Demonstration Act
- Public Law 93–577 The Federal Non-nuclear Energy Research Development Act
- The Coal Research Act of 1960

Specific hearings on the:
- Relationship of price to the development of synthetic fuels
- Methods for federal financing for research and development where industry is involved
- The role of research and development in developing a National energy resource data base
- Governmental planning for regional impacts of new energy technologies
- The potential transfer to ERDA of energy research and development programs not transfered under the Energy Reorganization Act of 1974

Research and development of specific technologies
- Coal: mining, waste disposal, combustion, gasification, liquefaction
- Oil shale, tar sands and petroleum and petroleum and natural gas recovery
- Conservation, transmission, storage and utilization
- Hydrogen, methonal and alternate fuel
- Federal power, solar, geothermal, and advanced energy concepts

Joint investigations with other subcommittees and committees:
- Tax policies which influence energy research and development
- Land leasing aspects of geothermal energy demonstration and commercial utilization

SPECIAL OVERSIGHT REVIEWS

The research and development programs of the Federal Highway Administration, the National Highway Traffic Safety Administration, the Federal Railroad Administration, the Urban Mass Transportation Administration, and the Coast Guard

Biomedical research and development and aspects of medical and genetic engineering

Specific activities in civilian nuclear energy research and development:

Light water, high temperature gas and breeder reactors

Controlled thermonuclear and laser fusion research

Nuclear propulsion systems

Nuclear safety research

Environmental research related to nuclear energy

Nuclear research and development facilities

This list of specific and special oversight activities represents areas of Committee interest. However, it does not commit the Committee to examining each and every one, nor does it prevent the addition of oversight subjects determined by later events and conditions.

Sincerely,

OLIN E. TEAGUE, *Chairman.*

COMMITTEE ON SMALL BUSINESS

HOUSE OF REPRESENTATIVES,
COMMITTEE ON SMALL BUSINESS,
Washington, D.C., February 18, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, U.S. House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: This will acknowledge and respond to your letter of February 13 last concerning coordination of oversight activities of all standing committees of the House by your Committee.

There is attached a listing by Subcommittee of the proposed oversight activities contemplated during the 94th Congress. I have designated Howard Greenberg, Executive Director of the Committee, as our representative to discuss this matter with your staff.

With kindest regards and best wishes, I am

Very sincerely yours,

JOE L. EVINS, *Chairman.*

SUBCOMMITTEE ON ENERGY AND ENVIRONMENT

This Subcommittee will be responsible for oversight, investigation and review of all problems affecting small business arising from matters concerning energy and the environment.

Examples of matters to be covered would be marketing of petroleum products, transportation of petroleum products, review of natural gas and synthetic fuel development, coal, nuclear energy, petrochemical matters, and environmental problems.

SUBCOMMITTEE ON GOVERNMENT PROCUREMENT AND INTERNATIONAL TRADE

This Subcommittee will be responsible for oversight, investigation and review of all problems affecting small business relating to government procurement, as well as the problems of small business in international trade.

Examples of the matters to be covered would be procurement under regular government procurement programs, Small Business Act 8(a) procurement by SBA, set-asides, subcontracting, renegotiation of government contracts, and government regulations involving small business procurement problems.

SUBCOMMITTEE ON SBA OVERSIGHT AND MINORITY ENTERPRISE

This Subcommittee will be responsible for the investigation and review of SBA operations and of matters affecting minority business enterprise.

SUBCOMMITTEE ON ACTIVITIES OF REGULATORY AGENCIES

This Subcommittee will be responsible for oversight, investigation and review of all problems affecting small business relating to concentration, monopoly and other matters involving regulatory agencies.

Examples of the items to be covered would be unfair and deceptive trade practices, advertising techniques, credit regulation, monopolistic practices, and antitrust and anticompetitive practices.

SUBCOMMITTEE ON COMMODITIES AND SERVICES

This Subcommittee will be responsible for oversight, investigation and review of all activities affecting small business concerning products, commodities, and services, except for matters relating to energy.

Examples are services industry problems, product and commodities problems, grain marketing and transportation, freight forwarding and customs brokerage, franchising, red tape and paperwork burdens of small business, and similar matters.

COMMITTEE ON STANDARDS OF OFFICIAL CONDUCT

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON STANDARDS OF OFFICIAL CONDUCT,
Washington, D.C., February 14, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, House of Representatives, Washington, D.C.

DEAR JACK: This is in reply to your letter of February 13, 1975, inquiring about planned oversight activities by the Committee on Standards of Official Conduct, pursuant to Clause 2(c) of Rule X of the House.

At this time, our Committee plans to continue its oversight activities in the two areas in which it has primary jurisdiction: administration and enforcement of the Code of Official Conduct under Rule XLIII and Financial Disclosure under Rule XLIV.

Our staff director, John M. Swanner, will be available to confer with your staff on this matter at any mutually agreeable time.

With warm regards, I am

Sincerely,

JOHN J. FLYNT, JR., *Chairman.*

COMMITTEE ON VETERANS' AFFAIRS

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON VETERANS' AFFAIRS,
Washington, D.C., February 19, 1975.

Hon. JACK BROOKS,
Chairman, Committee on Government Operations, House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: This is in response to your letter of February 13, 1975 calling attention to the report that is required "60 days after the Congress convenes". We are planning oversight activities as follows:

1. Inquiry into the operation of the military PREP, tutorial and work-study programs, which are part of the veterans' education and training program. Particular attention will be given to substantial overpayments which are developing in the education and training program.

2. The Committee is continuously involved in oversight of the hospital and medical program. We have just completed a survey of problems existing in the system. We will continue investigating complaints relating to care, and we are giving special attention to the program of the Veterans' Administration for the furnishing of certain prescription drugs. We also monitor the Veterans' Administration hospital and medical construction budget which exceeds $300 million.

3. Comprehensive oversight is planned in the cemetery field with regard to adequacy and need for expansion and renovation of the National Cemetery System.

4. Oversight investigations are underway regarding the impact of termination of the "Vietnam era" on veteran benefits.

5. Several years ago the guaranteed loan program was extended to mobile homes; oversight of the functioning of that program is planned. Late last year Congress extended the guaranteed loan program to condominiums, and as that program develops, oversight activities will be necessary. The Committee investigates complaints which it receives regarding poor construction and bad sales or real estate practices relating to the veterans' home loan program.

6. Oversight studies are in progress regarding income levels of needy veterans receiving pensions. Studies are also underway to make the non-service-connected pension program more responsive to the acute medical needs of the pensioner.

Mr. Oliver E. Meadows, Staff Director, will serve as liaison with your staff representative and we look forward to cooperating with your Committee.

Sincerely,

RAY ROBERTS, *Chairman.*

COMMITTEE ON WAYS AND MEANS

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON WAYS AND MEANS,
Washington, D.C., March 6, 1975.

Hon. JACK BROOKS,
Chairman,
Committee on Government Operations,
U.S. House of Representatives

DEAR MR. CHAIRMAN: This letter is a follow-up on your letter and the meeting between your staff representatives and the Chief Counsel and Minority Counsel of the Committee on Ways and Means concerning proposed oversight activities of the Committee on Ways and Means, to comply with the new rules of the House for the initial report on that subject by your Committee.

In view of the requirements of H. Res. 988, 93rd Congress, that each Committee of the House establish at least four subcommittees and the expanded requirements of the House rules as to oversight by the Committees of the House, the Committee on Ways and Means has been extensively restructured in order to meet those requirements. Thus, prior to the close of the 93rd Congress, the Committee created six new subcommittees, as follows: (1) Subcommittee on Social Security; (2) Subcommittee on Health; (3) Subcommittee on Unemployment Compensation; (4) Subcommittee on Trade; (5) Subcommittee on Public Assistance; and (6) Subcommittee on Oversight. The full Committee has reserved jurisdiction over the Internal Revenue Code.

In establishing these subcommittees, it was the feeling of the full Committee that oversight activities should not be exclusive but should be concurrent, that is, that the substantive subcommittees should exercise oversight on matters within their particular jurisdiction and that the Subcommittee on Oversight likewise should have oversight responsibility. To this end, the rules of the Committee provide that: "the jurisdiction of the Oversight Subcommittee shall include all matters within the scope of the Committee but shall be limited to existing law and said oversight jurisdiction shall not be exclusive but shall be concurrent with that of the other subcommittees and with respect to matters involving the Internal Revenue Code said concurrent jurisdiction shall be shared with the full Committee."

The Committee has submitted its budget and we are hopeful that in due course it will be approved by the House so that staffing can proceed for the various subcommittees. Clearly, in view of the restructuring of the Committee and the responsibilities of the subcommittees, if staffing proceeds in due course, the Committee on Ways and Means will be in a position to exercise vigorous and extensive oversight over all the matters within its jurisdiction.

It is contemplated that the Committee and its subcommittees will not only provide continuing oversight over the general matters within its jurisdiction but that, through its subcommittees and through the Subcommittee on Oversight, it will provide extensive oversight into *specific* areas of concentration in depth. Thus, while the Committee will exercise a continuing general oversight over the Internal Revenue laws, and the Subcommittees will carry out their continuing responsibilities over the Social Security Act, the customs and trade laws, health programs, welfare programs and unemployment compensation, we anticipate that the Subcommittee on Oversight and each of the Subcommittees will be selecting specific subjects for very careful and deep analysis as time permits.

We anticipate that *in social security* the following will be involved: (1) administration and services provided by social security district officers; (2) social security disability program; and (3) social security computer programming; *in welfare*: (1) evaluation of quality control program by HEW; (2) administration of SSI program; and (3) monitoring implementation of new social service legislation: *in health*: (1) the PSRO program; (2) the implementation of the renal disease program; and (3) nursing home care; *in trade*: (1) review of the collection and publication of import statistics; (2) preparation for and conduct of negotiations under the Trade Act of 1974; and *in unemployment compensation*: (1) operation of the special unemployment assistance program; (2) operation of the State agencies. The Oversight Subcommittee has already met with the Commissioner of Internal Revenue and has requested a considerable amount of data with regard to specific matters concerning the administration of the internal revenue laws. We expect that the oversight in this regard will be coordinated with activities of the Joint Committee on Internal Revenue Taxation and with the Internal Revenue Subcommittee of the Senate Finance Committee.

In view of our heavy schedule, the subcommittees have not developed complete agenda as to the specific areas of concentration, although the Subcommittee on Oversight has set forth a number of possible subjects of inquiry, too numerous to set forth here, to be coordinated with the work of the other subcommittees. It should be understood that the Committee and subcommittees will not necessarily be limited to the above listing.

We appreciate this opportunity to advise you of these activities of our Committee.

Sincerely,

AL ULLMAN, *Chairman.*

APPENDIX B

OVERVIEW OF FEDERAL AGENCY PROGRAM EVALUATION ACTIVITIES
JOINT INQUIRY BY THE OFFICE OF MANAGEMENT AND BUDGET
AND THE GENERAL ACCOUNTING OFFICE

Introduction

The Office of Management and Budget (OMB) and the General Accounting Office (GAO) share a common requirement to gather certain basic information on the activities and output of program evaluation units within the Federal government. This questionnaire has been developed jointly by OMB and GAO to meet the information needs of both groups. OMB's main interest is in updating and expanding their current file of descriptive information on Federal evaluation activities, which was begun in 1974 by their Evaluation and Program Implementation Division, focusing on:

--Identifying organizational settings and priorities of units for which program evaluation represents a major and continuing responsibility;

--Discerning the nature of operating relationships between evaluation units and units involved in related information producing activities;

--Describing the processes employed to plan, coordinate, and disseminate evaluation studies; and

--Obtaining evaluation expenditure and resource information.

The primary interest of the GAO in this joint activity is in responding to requirements of the Congressional Budget Act of 1974. This act gives GAO responsibilities, shared with the OMB, the Congressional Budget Office, and the Secretary of the Treasury to:

1. Develop, establish, and maintain an up-to-date inventory and directory of sources and information systems containing fiscal, budgetary, and program-related data and information, and a brief description of their content.

2. Provide, upon request, assistance to committees, joint committees, and Members of Congress in securing Federal fiscal, budgetary, and program-related data and information from the sources identified in such inventory and directory.

The basic data gathered as a result of this inquiry will be organized into a pilot file system for evaluative data on agency programs by the Congressional Information Services Group, Financial and General Management Studies Division of GAO, for use in responding to congressional requests. OMB will utilize this same body of information to examine the way in which evaluation efforts are structured and managed, and how the results of evaluation studies are disseminated.

Personnel from OMB and GAO will work closely in arranging for interviews with agency officials and will exchange the basic data collected to minimize the demands on the time of agency evaluation staffs. It is recognized that some time will be needed by these staffs to collect certain information. Return visits will be made as needed for clarification of questions or understanding of information provided.

Definition of Evaluation

For the purpose of this inquiry, evaluation is defined as relatively structured, systematic analysis of actual performance of operating programs, and comparison of alternative programs, to assess the impact or effectiveness in attaining stated goals or objectives or to assess their efficiency.

Within this broad definition are four general categories of evaluation, delineated generally on the basis of their purpose and predominant methodology. These are; (1) substantive impact evaluations, (2) relative effectiveness evaluations, (3) process or management evaluations, and (4) project evaluations:

1. Substantive impact evaluations attempt to measure the impact which Federal programs have upon their stated objectives. This type of evaluation seeks to determine what the program accomplishes, how these accomplishments compare to their intended purposes, and their costs. The purpose of such evaluations is primarily to provide information for use in major policy formulation.

2. Relative effectiveness evaluations seek to compare the effectiveness of two or more major program strategies or approaches in attaining ultimate objectives within a national program. These studies are designed to help policy officials and program managers select the most effective mix of services to maximize programs' total impact, such as the mix of skill training, remedial education, and job search assistance in a manpower program. However, these studies do not necessarily measure the impact of the total program in absolute terms on its objectives.

3. Process of management evaluations are designed to measure the operating efficiency of national programs. They are intended principally to help program managers achieve the most efficient deployment of available resources, rather than help policy officials arrive at major decisions affecting the scope and focus of the national programs.

4. Project evaluations may entail any of the three preceding types (substantive impact, relative effectiveness, or process evaluation) as well as project rating -- comparing the effectiveness of of one or more individual projects against others. Project evaluations are directed to individual, locally-based projects which

are components of a national program, and are not necessarily intended to yield conclusions regarding the impact or efficiency of the total national program.

Exclusions

For the purpose of this inquiry, the following information producing activities, although related, are excluded:

--Routine policy analysis and budget review;

--Basic research not directed toward program outcomes;

--Data collection; and

--Audits for legal or fiscal compliance (however, audits that deal with program results or impact are of interest to us).

Definition of an Evaluation Unit

Within each department or agency being interviewed, a number of distinct organizational units may be performing program evaluation as described above. Each agency may have a different organizational structure for assigning evaluation responsibilities. It is desired to:

--Identify and interview the head of any unit that has responsibility for evaluating the entire range of agency programs.

--Identify and interview the heads of any units having responsibility for evaluating portions of the entire range of agency programs.

This inquiry is directed to those organizational units for which evaluation activities represent a primary if not sole responsibility. This may be a separate office of a department or agency, or a visible organizational unit.

OVERVIEW OF FEDERAL AGENCY PROGRAM EVALUATION ACTIVITIES
INTERVIEW GUIDE

Date:_____ File Number:_____

Agency/Department:_____

Unit:_____

Respondent:_____ Phone:_____

OMB Staff:_____ Phone:_____

GAO Staff:_____ Phone:_____

Person Completing Form: _____ Phone:_____

For questions or additional information contact:

OMB

Stefan A. Halper
Rm. 10233
Executive Office Bldg.
Office of Management and Budget
Washington, D.C. 20503
Tel. (202) 395-3612

GAO

Wallace M. Cohen, Assistant Director
Rm. 5001B, Arthur Bldg.
USGAO - FCMSD
441 G St.,N.W.
Washington, D.C. 20548
Tel. (202) 376-5334

I. General Questions on Definitions

1. What is the evaluation unit's definition of program evaluation?

71-867 O - 76 - 29

File Number:_____

2. Are there any substantial differences between this definition and the definition we set forth in the introduction?

3. Does this unit perform one or more of the four general categories of evaluation set forth in the introduction? If so, which ones?

File Number:_____

II. Organization of Evaluation Activities

1. Name of unit:

2. Address of unit:

3. Name and title of head:

4. Telephone:

5. Office to whom this unit reports:

6. Provide an organizational chart situating the evaluation unit being interviewed with respect to other evaluation units and with respect to agency structure. Circle or otherwise designate evaluation units.

File Number:_____

7. Provide the names of other program evaluation units within the agency that are involved in evaluating similar programs as the unit being interviewed. Identify any field components and the office to whom they report.

8. Where field components have been identified, how is control exercised? (e.g., setting of evaluation priorities, evaluation scope, and quality control.)

File Number:_____

9. Does the evaluation unit being interviewed exercise any coordinating function with respect to the activities of the other evaluation units of the agency? If so, how is this done?

10. What are the evaluation unit's missions and areas of responsibility?

File Number:_____

11. Does the unit perform evaluation support activities? (e.g., maintenance of evaluation indexing or cross referencing systems.)

12. Is there any formal connection between this unit and (1) the budget preparation process, or (2) the Management by Objectives (MBO) process? If so, describe the relationship.

13. In general, what proportion of this unit's evaluation work requires the collection of new information from the public? Circle best estimate.

0% 25% 50% 75% 100%

File Number:_____

III. Delineation of Evaluation Unit's Program Responsibilities and Functions

Attached is a listing of programs reported for your agency in the 1974 Catalog of Federal Domestic Assistance Programs.

1. Does the unit being interviewed know of any additional program titles that should be added to this list in order that we have a more complete listing of programs administered by the agency? For each additional program not listed in the Domestic Catalog, provide the following:

 A. Title of program
 B. Authorizing legislation (i.e., short title, U.S. Statute, Public Law, and U.S. Code)
 C. Brief statement of program objectives
 D. 13-digit budget account identification code(s)
 E. Any agency identification codes for this program

File Number:_____

2. Reviewing the listing of programs reported in the Domestic Catalog and any additional program titles supplied for item III-1 above, indicate the programs for which the unit being interviewed has primary responsibility for evaluation.

File Number:_____

3. For which programs listed in the Domestic Catalog and any additional titles supplied for item III-1 above, is evaluation authorized?

Domestic Catalog Number or Program Title	Legislation Authorizing Evaluation (Short Title, U.S. Stat.)

File Number:_____

4. For which programs reported in the Domestic Catalog and any additional program titles supplied for item III-1 above, are specific evaluation studies or reports required?

Domestic Catalog Number or Program Title	Legislation Requiring Evaluation (Short Title, U.S. Statute etc.)

File Number:_____

IV. Evaluation Plans and Products

1. Describe the process by which evaluation activities are planned and approved.

File Number: _____

2. Attach copy of any formal written plans describing evaluation activities for FY 75. If not available, describe evaluation plans for FY 75.

File Number:_____

3. For major studies in process for FY 75, please list and indicate estimated dates of completion. (In general, major is taken to mean studies requiring more than 5% of the unit's resources.)

Title	Estimated Date of Completion

File Number:_____

4. What are the major areas of study planned for FY 76? (i.e., studies requiring more than 5% of the unit's resources.)

File Number:_____

5. Is there a formal dissemination plan for the distribution of evaluation reports, i.e., how are recipients determined?

6. Are any summary collections, digests, master lists, or other index publications available which indicate: (1) evaluation activity in progress and/or (2) completed evaluation reports? If possible, provide copies.

File Number:_____

7. What are the titles of evaluation reports produced by the agency in FY 73, 74, and 75? For work completed under contract, identify the contractor and contract number. To the extent that this information is provided for item IV-6 above, a repeat or reformated listing is not required. The following elements of information should be provided:

 A. Program evaluation report title
 B. Author(s)
 C. Publication date
 D. Issuing agency
 E. Agency and retrieval system accession codes (e.g., NTIS accession number)
 F. Titles of programs that the report evaluates
 G. Titles of programs to which the report is relevant
 H. By an asterisk or other clear indication, note any evaluation which requires more than 5% of the unit's budget for the fiscal year

File Number:_____

V. Agency Evaluation Budgetary and Resource Information

The following questions are directed towards determining the amount of funds expended by the evaluation unit in FY 73, 74, and 75 and in having an estimate of the manpower directed specifically towards evaluation. In the event that the data requested is not readily available, a best estimate is acceptable.

1. Agency or department:

2. Bureau, office, administration:

3. Evaluation unit:

4. Respondent(s): Phone:

Budgetary Data		FY 73	FY 74	FY 75
5. Budget Authorization for this unit	($000)			
6. Obligations for this unit	($000)			
A. Salaries	($000)			
B. Contract services	($000)			
C. Other	($000)			
7. Obligations directed solely towards evaluation activities	($000)			

Personnel Resources	FY 73	FY 74	FY 75
8. Total professional staff for this unit			
9. Professional man-years directed specifically towards evaluation			
10. Total clerical staff for this unit			
11. Clerical man-years directed specifically towards evaluation			

2/75

File Number:_____

Continuation Page -- Comments

February 1975

APPENDIX C

GAO Reports Which Include Evaluation by GAO or Which Deal With Agency Evaluation Matters

Report Number	Date	Title
B-114874	Aug. 6, 1973	Airmail Improvement Program Objectives Unrealized
B-114874	Oct. 30, 1973	Observations on the Preferential Mail System
B-118370	March 8, 1974	Improved Federal Efforts Needed to Equally Consider Wildlife Conservation With Other Features of Water Resource Developments
B-118654	March 25, 1974	Telling America's Story to the World -- Problems and Issues
B-125053	Feb. 14, 1974	More Intensive Reforestation and Timber Stand Improvement Programs Could Help Meet Timber Demand
B-125053	Oct. 5, 1973	More Usable Dead Or Damaged Trees Should be Salvaged to Help Meet Timber Demand
B-130515	Feb. 20, 1973	Difficulties of the Neighborhood Youth Corps In-School Program and its Management Problems
B-130515	March 1, 1973	Activities of the Emergency Food and Medical Services Project Alabama Council on Human Relations, Lee County, Alabama
B-130515	April 2, 1974	Restructured Neighborhood Youth Corps Out-of-School Program in Urban Areas
B-130515	May 8, 1973	Evaluation of the Office of Economic Opportunity's Performance Contracting Experiment
B-133014	July 3, 1973	Industrial Management Review of the Naval Air Rework Facility, Alameda, California
B-133182	Dec. 5, 1973	Reemployment Assistance for Engineers, Scientists, and Technicians Unemployed Because of Aerospace and Defense Cutbacks

Report Number	Date	Title
B-133283	July 30, 1973	U.S. Foreign Aid to Education: Does Brazil Need it?
B-146285	April 25, 1974	Revenue Sharing: Its Use by and Impact on Local Governments
B-146879	Jan. 30, 1973	Study of Federal Programs for Manpower Services for the Disadvantaged in the District of Columbia
B-146998	Feb. 27, 1973	What Should U.S. Policy be for Development Assistance to Ecuador?
B-151261	Nov. 30, 1973	Propriety of Minimum Wage Determinations for Clerical and Other Office Employees Under the Service Contract Act
B-159896	April 11, 1974	An Industrial Management Review of the Maintenance Directorate, San Antonio Air Materiel Area, San Antonio, Texas
B-159896	Dec. 17, 1973	Industrial Management Review of the Army Aeronautical Depot Maintenance Center, Corpus Christi, Texas
B-161740	Nov. 23, 1973	Agricultural Program Evaluation Laws and Studies
B-163058	June 20, 1973	Army Air Defense: The SAM-D Program
B-163375	April 4, 1974	Administration of Small Business Loan Program Under the Occupational Safety and Health Act
B-163375	Sept. 28, 1973	Slow Progress Likely in Development of Standards for Toxic Substances and Harmful Physical Agents Found in Workplaces
B-163375	Jan. 30, 1973	Occupational Safety and Health Standards
B-163375	Jan. 31, 1973	Occupational Safety and Health Standards
B-163375	March 15, 1973	More Concerted Effort Needed by the Federal Government on Occupational Safety and Health Programs for Federal Employees

February 1975

Report Number	Date	Title
B-163742	March 21, 1973	Use of Excess Defense Articles and Other Resources to Supplement the Military Assistance Program
B-163074	May 3, 1973	Advantages and Limitations of Computer Simulation in Decision-making
B-163922	Sept. 23, 1974	Opportunity to Increase Effectiveness of JOBS-Type Programs to be Funded Under CETA
B-163922	Aug. 1, 1973	Public Employment Programs in Selected Rural and Urban Areas
B-163922	March 14, 1973	Impact of Grants to Indian Tribes Under the Emergency Employment Act of 1971
B-163922	June 8, 1973	Public Service Benefits From Jobs Under the Emergency Employment Act of 1971
B-163922	Feb. 25, 1974	Cleveland Summer Youth Employment Programs
B-163922	March 29, 1974	The Emergency Employment Act: Placing Participants in Nonsubsidized Jobs and Revising Hiring Requirements
B-164031 (1)	March 7, 1974	Problems of the Upward Bound Program in Preparing Disadvantaged Students for a Postsecondary Education
B-164031 (2)	March 11, 1974	Progress and Problems in Providing Health Services to Indians
B-164031 (3)	April 3, 1973	Effectiveness of Vocational Rehabilitation in Helping the Handicapped
B-164031 (3)	June 27, 1973	Social Services: Do They Help Welfare Recipients Achieve Self-Support or Reduced Dependency?
B-164031 (3)	June 13, 1973	Some Problems in Contracting for Federally Assisted Child-Care Services

February 1975

Report Number	Date	Title
B-164031 (3)	June 27, 1973	Problems in Administering Two Eligibility Aspects -- Incapacity and Unemployment -- In the Aid to Families With Dependent Children Program in Pennsylvania
B-164031(3)	Nov. 20, 1973	Evaluation of Efforts to Determine Nutritional Health of the U. S. Population
B-164497 (3)	April 24, 1973	For Safer Motor Vehicles -- More Effective Efforts Needed to Insure Compliance With Federal Safety Standards
B-166506	Nov. 15, 1973	Improved Federal and State Programs Needed to Insure the Purity and Safety of Drinking Water in the United States
B-166506	Jan. 16, 1974	Research and Demonstration Programs to Achieve Water Quality Goals: What the Federal Government Needs to do
B-171019	Oct. 21, 1974	Progress in Determining Approaches Which Work in the Criminal Justice System
B-171019	Jan. 16, 1973	Development of a Nationwide Criminal Data Exchange System -- Need to Determine Cost and Improve Reporting
B-171019	March 19, 1974	Difficulties of Assessing Results of Law Enforcement Assistance Administration Projects to Reduce Crime
B-171526	May 22, 1973	Interim Report on the Agency for International Development's Housing Investment Guaranty Program
B-171630	March 28, 1974	Observations on Housing Allowances and the Experimental Housing Allowance Program

February 1975

Report Number	Date	Title
B-171630	March 27, 1974	Problems in the Homeownership Opportunities Program for Low-Income Families
B-172707	Aug. 13, 1973	The Army Reorganization for the 1970s: An Assessment of the Planning
B-175155	Aug. 22, 1973	Railroad Reservation, Information and Ticketing Services Being Improved
B-176049	Jan. 22, 1973	Need to Improve Language Training Programs and Assignments for U.S. Government Personnel Overseas
B-177011	Aug. 14, 1973	Federal and State Efforts to Control Water Pollution Caused by Acid Drainage From Mines
B-177166	June 12, 1973	In-Flight Escape Systems for Helicopters Should be Developed to Prevent Fatalities
B-177952	May 2, 1973	Problems in Meeting Military Manpower Needs in the All-Volunteer Force
B-178564	June 29, 1973	Progress and Problems in Achieving Objectives of School Lunch Program
B-178741	Nov. 29, 1974	Employment Services for Vietnam -- Era Veterans Could be Improved
B-178694 (RED-75-310)	Dec. 18, 1974	Observations on Evaluation of the Special Supplemental Food Program Food and Nutrition Service

Selected General Accounting Office Reports

Involving Program Evaluation

In its reviews of a variety of Federal programs, the General Accounting Office has conducted evaluations and has reviewed the validity of agency evaluations. Although problems have been found and reported, the overall tone has been positive regarding the potential value of program evaluation, as the following selected examples show: (Underscoring to emphasize positive points.)

1. In Observations on the Preferential Mail System, B-114874, October 30, 1973, GAO made use of a computer model to calculate alternative costs. The report explains the reasons for our corrections to what we believe to be "questionable" assumptions.

2. In Social Services: Do They Help Welfare Recipients Achieve Self-Support or Reduced Dependency?, B-164031(3), June 27, 1973, we stated that we used an approach which could give case workers a more systematic and analytic means to assess recipients potential and, accordingly, which could improve the allocation of social service resources. We stated that this approach was developed by the Denver Department of Welfare and our report contains a chapter discussing this method and concluding that it is feasible to develop a predictive approach using recipient characteristics and that further refinement of the approach could be the next step.

3. In Evaluation of the Office of Economic Opportunity's Performance Contracting Experiment, B-130515, May 8, 1974, GAO demonstrates the capability to assess a social experiment which included a built-in evaluation design. This can viewed as positive with regard to evaluation because the problems reported are in the implementation more than in the design. The digest states that observations contained in this report are expected to be of value to the Institute (National Institute of Education) and local educational authorities if similar experiments are conducted in the future.

4. In Maternal and Child Health Programs Authorized by Title V, Social Security Act, B-164031(3), June 23, 1972, on program evaluation systems for these projects which points out some problems in implementation but ends on a positive note "on the basis of our review of the system's general design, we believe that it is capable of producing information useful to program managers in measuring project and program effectiveness." The report contains specific recommendations for actions which might improve the system.

5. In Improvements Needed in the Administration of Contracts for Evaluations and Studies of Antipoverty Programs, B-130515, December 28, 1971, problems are stated and specific recommendations are given for improving both contracts and monitoring, to develop and implement a system to insure the formal assessment of the results of the evaluations and studies, and the effective utilization of the results of contractors' studies to improve the design and administration of programs or to develop new program approaches when appropriate.

6. In Need for Improving the Administration of Study and Evaluation Contracts, B-164031(1), August 16, 1971, containing problems and recommendations with regard to education program evaluations similar to the report on antipoverty programs (see above item).

7. In Observations on Housing Allowances and the Experimental Housing Allowance Program, B-171630, March 28, 1974, GAO has highlighted some of the issues involved in evaluating such a program including studies conducting by a GAO consultant. GAO recommends that the Congress in considering future legislation authorizing a national housing allowance program, weigh the benefit that could be derived from waiting until the experimental program is complete and more information is available on the likely impact of such a program. Thus, this report is a positive point of review regarding the benefit of evaluation and of waiting for such evaluation results for use in major decisions. This report is similar to the staff study and testimony provided to the Senate Finance Committee in 1970 on evaluation of the New Jersey negative income tax experiment.

8. In Progress in Determining Approaches Which Work in the Criminal Justice System, B-171019, October 21, 1974, GAO recommends that the Law Enforcement Assistance Agency should issue guidelines requiring state plans which discuss how evaluation will be used to assist in management decisions and the extent to which administrators believe current evaluation strategies need to be modified to make this possible. The report also states that there is no doubt that outcome evaluation is complicated and in some instances costly. The consequence of not doing such evaluations, however, is to reduce the planning process to chance. Evaluations are necessary so more objective decisions can be made regarding allocations of resources.

9. In Difficulties of Assessing Results of Law Enforcement Assistance Administration Projects to Reduce Crime, B-171019, March 19, 1974, GAO recommends designation of demonstration projects to determine information that should be gathered and the type of evaluation that should be done and the standardized methodologies and standard data reporting systems to accomplish this.

APPENDIX D

Program Evaluation: A Manual for Legislators and Legislative Staffs

Draft of January 1975

Prepared by William H. Foskett, Consultant, and Harrison W. Fox, Jr., Staff of Senator Bill Brock, (Tennessee)

Comments on the draft are invited and should be sent to
Harrison W. Fox, Jr. Office of Sen. Bill Brock,
254 Russell Senate Office Building, Washington, D.C. 20510

INTRODUCTION

Finding and using the links between legislative goals, government spending, program activity, and consequences are at the heart of Congressional authority. Failure to make strong, valid, links invites the consequences of an uncontrolled budget and/or unsolved human and social problems. The Legislative Reorganization Act of 1970 and the Congressional Budget and Impoundment Control Act of 1974 in principle provide Congress with an information resource mechanism and a budget procedure necessary "to exert its power of the purse with full knowledge of the consequences of its actions".

If Congress wants to exert its full authority under these Acts it will have to consider the human and social consequences, as well as the economic consequences, of its actions. Practically speaking, this will require Congress to obtain and use evidence which links goals, spending, program activities and program results to each other. In setting national priorities and working within self-imposed budget limits Congress will need solid evidence about the cause-effect relationships between program results and Congressional goals. Cause-effect relationships can be verified only within the logic of experimentation, (e.g. the negative income tax experiment), thus Congress will need to provide for such experiments as it seeks answers to questions about what services will cause the results it seeks.

Causality is not the substance of every legislative question. So Congress will also need to use other non-experimental evaluation methods--e.g., needs assessment.

We aim to provide legislators and their staffs with sufficient knowledge of evaluation research to maintain their political autonomy while focusing on the best possible evidence for the legislative questions at hand. This manual does not aim to make the reader into an instant expert on highly technical matters of evaluation. Evaluation users should keep in mind that serious limitations currently exist in the organizational resources available to supply such evidence and in the state of the art of evaluation research.

By taking the steps listed below you can build a sound evidence base for deciding how to vote on authorizations and appropriations. In addition, you can build an evidence base for strong committee oversight of legislation. Each of these steps will be described in the text of this manual.

Step 1: Selecting questions to be answered and evaluation techniques to be used.
Step 2: Drafting legislative language.
Step 3: Formulating program goals and terms
Step 4: Measures.
Step 5: Design.
Step 6: Statistical analysis.
Step 7: Format for evaluation studies.

Step 1: Selecting questions to be answered and evaluation techniques to be used. There are some simple general types of questions which have profound practical meaning for effective legislation. Particular instances of these general questions being asked are common to most legislation at some phase of its life. Such questions are listed across the top of Table 1. There is at least one or more evaluation technique(s) which can supply evidence in response to each of these questions. A basic list of the categories of these techniques is shown down the left side of the table.

Table 1

(Being Developed)

LEGISLATIVE QUESTIONS

Your Suggestions are welcome

CATEGORIES OF TECHNIQUES

Many questions will come up during the life of an Act--from its introduction as a bill, to its consideration for re-authorization. You should act to see that the type of evaluation research that matches these questions is begun early. It is important to note that the selection of an evaluation strategy must in most cases be completed before program implementation begins.

Today, most legislatively-mandated and executive-initiated evaluation is not framed so as to provide answers to basic legislative questions which arise especially in oversight. Indeed these provisions seem to satisfy mainly executive branch interests. The most common Congressional control device is to be found in the language which deals with measures of effectiveness and/or the nature of recommendations to be made to the Congress. (Examples of such legislative language may be found in Program Evaluation: Legislative Language and a Users Guide to Selective Sources, Part 2. U.S. General Accounting Office, 1973.)

Though there are many laudible features in this language, such provisions for evaluation have typically failed to provide Congress with the kind of information it needed at the time it needed it. Often such language has been self-defeating by blurring the purpose of evaluation, or by failing to authorize the necessary conditions (e.g., randomization) or resources to obtain the evidence.

In the next section you will find legislative language options along a number of crucial dimensions which can determine evaluation activity. By selecting appropriate options the drafter of legislation can clearly authorize and provide an opportunity for the collection of evidence necessary to answer the right questions at

the right time, with the right evaluation technique.

Step 2: Drafting legislative language. Congress often finds that it doesn't have the right kind of information at the right time, even though an extensive "report" may have been completed. The simplest and most common reason for this is that the legislative language of an act's reporting sections provides little or no guidance for Congressional evaluation needs. The language of the reporting section provides a basic foundation for oversight. Effective Congressional oversight is to a large extent dependent upon the specification of a reporting section.

If the language in the reporting section is too specific, Congressmen or their staff may be entangled with technicalities or petty details of planning or managing evaluation research. If the language is too vague, other interests may pre-empt Congress' need for timely, pertinent, and credible oversight information.

There are eight aspects of evaluation which Congress should deal with in the language of reporting sections of legislation:

- purpose(s) of evaluation
- who will conduct the evaluation research
- content of evaluation
- the timing of evaluation
- funding for evaluation
- congressional veto
- to whom evaluation information will be reported
- access to information

TABLE 2

LEGISLATIVE LANGUAGE FOR EVALUATION

Elements	Options	Language
1. Purpose(s) of the evaluation	a. Congressional oversight	For the purpose of providing information that will aid Congress in its oversight responsibilities....
	b. Public accountability	For the purpose of providing information that will hold program administration accountable to citizens and its clients....
	c. Program development	For the purpose of identifying and/or developing program services which will be effective in meeting the goals of the legislation....
	d. Program management	For the purpose of providing information necessary to improve the efficiency and effectiveness of program management....
2. Agency to conduct evaluation	a. Congressional (e.g., GAO)	... the Office of Program Review and Evaluation of the General Accounting Office.... (the Comptroller-General)
	b. Executive (e.g., NIMH)	...the National Institute of Education.... (for example)
	c. Local-- private (including contractors)	...an office independent of the funding and administration of the activity being evaluated.... (local)
3. Content of evaluation	a. Service delivery	...to measure the actual delivery of services to intended recipients, in comparison to the type, quality and level of services intended by Congress....
	b. Service effects	...to measure the effects and/or side-effects of program services.... (requires 3.a. to document services delivery)
	c. Costs and benefits	... to measure all costs and benefits from this program, including an identification of which sectors of the economy shall reap the benefits and bear the costs....
	d. Relative result --successes, failures, ambiguous cases	...to report relative results of programs in terms of the number (and definition) of projects and/or clients which have been successes, failures and ambiguous cases...

TABLE 2 (cont.)

LEGISLATIVE LANGUAGE FOR EVALUATION

Elements	Options	Language
3. Content of evaluation (cont.)	e. Factors distinguishing successes from failures	...to identify factors distinguishing cases of success from cases of failure....
4. Timing of evaluation	a. Before pgm. (pilots, needs assessment)	...before Congressional authorization or appropriation of funding for such services beyond _____ dollars or _____ years....
	b. During program operation (esp. for oversight of management)	...at (regular or specified) _____ intervals during operation of the program (or pilot test)....
	c. At funding time or renewal	... _____ months prior to first consideration of program funding or expiration of legislation....
5. Funding of evaluation	a. Percentage set-aside	Funds needed to carry out the program evaluation are authorized for expenditure up to _____% of the total authorization for this Act....
	b. Formula	Funds needed to carry out the program evaluation are authorized for expenditure according to the following formula....
	c. Source	...(essentially from program funds or from funds independently provided in funding for agencies such as GAO or NIE)
6. Congressional Veto	a. Concurrent simple resolution	The -- (department or agency) should provide a design for program evaluation for review by Congress within __ days after the fiscal year that this Act takes effect. The Congress shall have __ days to approve, modify, or -- (design). The design should specify program goals, objectives, research design, measures, methods, --

TABLE 2 (cont.)

LEGISLATIVE LANGUAGE FOR EVALUATION

Elements	Options	Language
6. Congressional Veto (cont.)	b. Committee veto	The -- (department or agency) should provide a design for program evaluation for review by -- (committees) within __ days after the fiscal year that this Act takes effect. The -- (committees) shall have __ days to approve, modify, or -- (design). The design should specify program goals, objectives, research design, measures, methods, --
7. Reporting	a. To designated Committee of Congress	...shall report such results to the subcommittee on _____ of the Senate Committee on _____; and to the subcommittee on _____ of the House Committee on _____; as well as to the subcommittee on _____ of the Senate Appropriations Committee and to the subcommittee on _____ of the House Appropriations Committee.
	b. To designated office of the Executive	...shall report such results to the Secretary of _____ and to _____ (the chief program officer)....
	c. Directly to public	...shall report such results directly to citizens local to the area served by the project via news media, dissemination of summaries of results, and public information offices....
	d. To Congress and/or President in general	...shall report such results to the Congress, Committee on _____, and the President....
8. Access to information	General language	Free access to all data and documentation is granted at (on)....

A variety of legislative choices are available in each of these aspects of evaluation. Legislative language for the eight options is shown in Table 2.

Step 3: Formulating program goals and terms.

In this step (Step 3) and in Steps 4, 5, and 6, we will deal with matters which aim to give you, the evaluation user, sufficient control over the specifics of evaluation planning to see that the type of evidence you need will be supplied by the evaluation.

A description of the program in clear concrete terms is an essential condition for evaluation. The program goals and services must be described in such a way that they can be validly measured--even if by relatively primitive techniques. Someone, either the drafters of the legislation or the program planners, must produce a concrete description of the program which translates Congressional goals into measurable objectives.

For example, "improving job opportunities for minorities" will not be a measurable goal, whereas "reducing the unemployment rate" or "increasing the percentage of minority group members in management, professional, and skilled labor positions" would be measurable goals.

Congress has been frequently criticized by professional evaluators for not writing the goals of legislation in measurable terms. You should not leave the definition of Congressional intent to those responsible for the technicalities of evaluation research.

It will often be impractical (for passage and implementation) to burden a bill with the level of technical detail most convenient for the evaluator. Such detailing may be a barrier to passage of

a bill; or if passed may lead to a program lacking sufficient flexibility for successful management. We believe that you can solve this problem by systematically defining in the legislative history, preferably in the committee or conference report, the elements of the program or by requiring that a formal program plan be prepared by the program planners and submitted for legislative review before implementation of the program can begin--i.e., the Congressional veto concept applied to the program plan.

Full measurable descriptions of objectives and actions should be required in program plans if you intend to consider implementation or effectiveness of the program,

The actual technical manpower necessary to develop these elements of program description in legislative or formal program plans may be obtained from outside contractors, Congressional Budget Office, Congressional Research Service, Office of Program Review and Evaluation, the General Accounting Office, or Executive Branch agencies as authorized by the Congressional Budget and Impoundment Control Act of 1974.

In the committee or conference report you should also state feared, undesirable side-effects which evaluators should look for and measure--in addition to the desirable results expressed in program goals. Opponents of a bill will often be very astute sources of undesirable side-effects.

Step 4: Measures.

After formulating program goals and defining major terms, one must develop the valid measures for use in the program evaluation.

These measures will supply the basic body of evidence for drawing conclusions about program effectiveness. For instance, a program to improve highway safety might have as its goal to reduce the accident rate, to reduce personal injury as well as the severity of personal injury, and death, to reduce the extent and severity of property damage or any combination of these. A question which still must be answered is: How are these goals to be measured? Such a program might have the anticipated (thus measured) undesirable cost of increasing commuting time, unemployment due to inability to commute to work, etc.

It is very important to choose measures in advance to be sure that they will supply the necessary data on which oversight should be based. Legislative users of evaluation should ask the following questions about measures when reviewing plans setting up programs and evaluating their effectiveness.

(1) Are the basic ideas of the program adequately translated into measurable terms? (Are you really satisfied that the goals and objectives of highway safety are adequately measured?)

(2) Does the measurement cover program input? Are they adequate to verify that the program has in fact been implemented? Do they provide quantitative measures of this input?

(3) Will the data be sufficient to answer all of the important questions which you should raise in oversight of the program's effectiveness? (Do not be caught short without measures to answer important highway safety questions!)

(4) Is each measuring instrument sensitive enough to show the magnitude of differences which the program is expected to create

both services and effects? (If you are expecting to improve highway safety by inches, don't try to measure that improvement by feet.)

(5) On the whole, do the measurements proposed for each aspect of program treatments and program effects reflect the idea which Congress intended the program to translate into reality? (If the goal is to reduce highway accidents during rush hours, collect the data at appropriate time intervals--daily, not weekly, monthly or yearly.)

(6) Do the items composing particular measurements of particular program treatments or effects fairly sample all of the important aspects of that particular treatment or effect? Make sure that all aspects of highway safety that are perceived to be important are being measured. Are the undesirable side effects represented in the measures? (For instance, highway safety affects property, lives, insurance rates, birth rates, and food consumption. But probably the first three are of interest.)

There are rarely simple, definitive answers to the above questions. But by raising these questions and reviewing their answers, the legislative user of evaluation can gain evidence necessary to estimate the soundness of proposed measures. Developing measures is only one step in the evaluation process. The next step the legislative evaluation user should take is to examine the design plan for collecting data on program services and effects.

Step 5: Design

The evaluation design is a plan for linking measures of program services and results.

Good measures and sound evaluation design evaluation are both necessary for effective program evaluation of programs. A well conceived evaluation design will allow effectiveness to be attributed to the program itself rather than to events or circumstances outside the program.

Weakness in design and measurement tend to obscure positive evidence of program effectiveness.

It is very much in the interest of proponents of particular programs to obtain the most valid measurement instruments and most powerful research design available in order to prevent extraneous factors from obscuring program effectiveness.

While it will not usually be appropriate for Congress to specify in legislation the details of research design and statistical analysis, there are a number of important design features which are under legislative control but which in past legislation have often been omitted or inadvertently precluded.

Evaluation research design is extremely complex. It requires many technical judgements which cannot be made responsibly by a layman untrained in research design. But legislators cannot meet their responsibility by merely surrendering the whole matter of validity to experts. Legislators have a responsibility to raise basic questions about the validity of the evidence provided by the program evaluation they authorize.. You can meet this responsibility by

requiring that evaluation experts supply straightforward answers to the basic threats to valid evaluation found at the design stage.* Table 3 below states these threats in question form:

Table 3

QUESTIONS

Issues In Evaluation Design Validity

1. Will the evaluation supply evidence that the program services were actually delivered in the intended type, quantity and quality?

2. During evaluation of the program can events outside the program blunt or exaggerate measures of program effects? (history)

3. Could natural changes or pre-existing trends (e.g., normal growth or losses) that would occur regardless of the program account for results? (maturation)

4. Can the process of measuring itself induce change in that which is being measured? (testing)

5. Can the measures themselves change in meaning during evaluation of the program? (instrumentation)

6. If comparison groups are used, would they have changed differently from each other even if they had not received different program services? (selection)

7. Are participants selected on the basis of extreme scores on measures related to program effectiveness measures? (statistical regression)

8. Will the evaluation show whether participants who drop out of the program (or different comparison groups) are alike in some way which would influence program effectiveness measures? (mortality)

9. To what extent can valid evaluation results (positive or negative) be generalized to other possible participants or program settings? (interaction of testing reactive arrangements)

10. Is variation in program services within critical range specified for the program? (see #1 above)

11. Are several different ways of measuring each program effect used so that corroborative evidence of results is provided? (generalizing)

*More detailed examination of various design consideration can be found in Appendix C.

Between Steps 5 (Evaluation Design) and 6 (Statistical Analysis) the program evaluation strategy will be implemented. Committee members and staff should keep a close watch over these tactical activities of program evaluation. Such techniques as formal reporting requirements, informal contact, etc., should be used to keep tabs on data collection procedures, timing of evaluation activities, program content, and decision making needs.

Step 6. Statistical Analysis

Previous steps we have recommended all aim to provide the soundest possible raw data base for oversight of program effectiveness. These steps minimize the possibility that the basic evidence regarding program effectiveness is confounded by inadequate program delivery, poor measurement, or invalid research design. Next this valid data must be condensed and focused on the issues to be raised in oversight by use of statistical analysis. Given valid measurements made in a design framework which yields interpretable data there may be more than one right way to statistically analyze the data.

Statistical analysis may be used to describe raw data or to draw inferences about relationships and meaning of the data. Used descriptively statistical analyses condense large amounts of raw data in such a way that basic characteristics are pointed out and described in succinct, numerical terms. Used inferentially statistical analysis searches out and tests relationships between different measures--especially between measures of program activities and program effectiveness. The variety of descriptive and inferential statistical techniques used in program evaluation is so

varied and broad that judgement as to the proper use of any particular statistical technique in any specific situation must be left to the professional evaluator. But legislative users of effectiveness evaluation should take a number of precautions to minimize entry of bias into results at the point of statistical analysis--or, in cases where bias is unavoidable, to make that bias apparent.

The strategy we recommend to legislative users for dealing with statistical analysis has two elements:

- documentation of four types of information (cited below) about the statistical analyses used in effectiveness evaluation reports;
- independent, simultaneous statistical analyses of the data using alternative techniques.

By documenting the following four basic considerations for statistical analysis in effectiveness evaluations professional and public attention can be conveniently drawn to areas where problems have been overlooked in the past. Such documentation should be clearly labeled and appended to the effectiveness evaluation report. Of course, each such appendix would implicitly require evaluators to take and report certain precautions that might otherwise be overlooked or unreported. Each of the topics below should be documented in an appendix.

a. Incomplete or missing data should be screened and treated in such a way as to avoid biasing the results. Because such procedures are basic, no chance should be taken that they might be skipped over in haste or economy.

b. All statistical techniques used to work with the data should be documented. Each specific technique, its assumptions, evidence that these assumptions are met in each case of its use, and page references to use of the technique in the evaluation report (including summaries) should be cited.

c. The limits of findings based on statistical inference inherent in the particular data and the particular statistical techniques supporting them should be clearly and concisely stated. Confidence intervals and explicit description of the time, setting and participants to which the findings can be applied should be included.

d. Ways in which the size or direction of program effectiveness evaluation results might be an artifact of statistical technique--for example, "statistical significance"--should be briefly indicated to give the legislative user an indication of possible practical weakness in the evaluation findings. Ideally, statistical analysis itself would not affect apparent results--but given complex situations, relatively small effects, and more than one right choice for the statistician to make, it is worthwhile either explicitly to rule out such problems or to indicate their extent in an appendix.

The second element of the strategy--independent, simultaneous statistical analyses of the data using alternative techniques--can keep the legislative user from becoming the captive of a frame of reference and assumptions which he may not accept. If the findings of alternative analyses of the data tend to coincide, corroborative evidence is provided; or, if they diverge it is perhaps the issues surrounding program effectiveness which should be debated and not the degree of effectiveness. Of course, all alternative statistical analyses would have to be responsibly conducted and documented as recommended above. Independent, simultaneous statistical analyses are relatively inexpensive compared to the cost of developing measurement instruments and collecting the raw data. In practical terms it would require that those who actually collect the raw data store it on computer tapes in such a way that they are readily usable by other professional evaluators to whom the raw data would be made available for alternative analyses. In the past, alternative analyses of raw data have been made

sequentially rather than simultaneously with the result that their findings have not been available for corroboration of results or sharpening of issues when needed by legislative users. And, such sequential analyses of data gathered at one point in time may take so long that the raw data are obsolete with respect to present or future situations with which the legislative user may be concerned. Any alternative statistical analyses should be made simultaneously.

Statistical analysis is the last chance for bias or invalid evidence to be obscured in highly technical problems and language. The documentation and opportunity for alternative analyses suggested above create a situation which would minimize the possibility that such bias or invalid evidence would escape the attention of the legislative user.

Step 7: Format for Evaluation Studies.

Reports of evaluation studies should be written in a concise format which exclusively links the legislative goal(s) at hand to the program results.

The format we have in mind would be more similar to a legal brief than to the format in which evaluation results typically have been reported. Cross-referencing of evidence to their data base is essential.

Findings should be cross-referenced to the specific evidence--i.e., to the raw data, measures, research design, and statistical analysis on which they are based. The purpose of this format is to present evidence concisely in such a way that its relevance to

the issue and its credibility can be examined and reviewed by Congress. Thus an evaluation report to Congress should comprise these cross-referenced sections:

1. the statement of the goals (cross-reference to results) as drafted by the committee;

2. the evidence which the evaluator argues is pertinent, credible data on that issue;

3. sections documenting the analyzed data, the analytic techniques (i.e., statistical tests, etc.) the raw data, the methods by which they were gotten, and other appropriate technical details on which the credibility of the evidence might be challenged.

Procedures for using evidence in this format are described in Appendix A.

Beware of Summaries:

Although summaries are often suggested as a solution to Congress' information overload, they discourage andoften pre-empt Congress' rights and responsibilities to examine evidence directly and draw its own conclusions. Hence, we recommend against the summary as an exclusive vehicle for presenting evidence from evaluation studies to Congressmen and their staff.

* * * * * * * * *

Why do this? The practical purpose of the steps we have outlined here is to provide sufficient evidence to justify and document

1. Committee actions at authorization stage
2. Individual members' floor votes
3. Actions of Appropriations and Budget Committees
4. Challenge to Executive branch budgets.

The new Congressional budgeting system will require a flow of evidence at a relatively specific level and in readily usable and checkable form. Applying the various types of evaluation methods can provide that evidence if organized and applied as outlined here.

APPENDIX A

AN ALTERNATIVE FOR EVALUATION REPORTING

Congressmen can use evaluations to arrive at Congressional decisions or to review executive branch proposals--especially the Presidential budget and its documentation. The committee hearing can be a vehicle for transmitting and organizing the evidence provided by evaluation studies. The actual reports of evaluation studies can be presented in a concise, cross-referenced format, similar to simplified legal briefs. Principals and steps which can be taken to organize hearings to provide an efficient education in the facts at hand on any specific issue will be outlined below.

Identification of issues. Hearings should be organized around a clear statement of the issue which is of legislative interest. For example, the introduction of new legislation raises the issue of the nature and extent of needs addressed by this legislation. The appropriate evidence can be gathered by needs assessment and policy analysis--as indicated in Table 1. If program implementation or service delivery is the issue, evidence should be reported from process evaluations. Other examples may be inferred from Table 1. The important point is that the issue be defined to focus the hearing and appropriate type of evidence be available when needed.

Present evidence for and against the issue. Much of the fogginess which frustrates users of evaluation reports is often due to efforts to avoid or conceal bias in the study. Of course reports should be objective not an exercise in propaganda or entirely personal opinion, but they will be most useful if organized

into clear cut documentation of positive or negative positions on the issue. For example, if the implementation of a program is at issue you need to have evidence for and against the points of implementation at issue.

If evidence in testimony is systematically keyed to different sides of an issue, that evidence should be examined and used more readily than if it is varied along lengthy caveats. Advanced categorization of the evidence in relation to the issue can enhance Congressmen's responsibility to make a layman's judgement on the validity, relevance, and sufficiency of technical evidence for differing positions.

Setting reporting and hearing dates. With a little thought you can identify advance broad issues which will arise, in connection with new bills, existing acts, or the budgeting/appropriations process--outlined in Table 1--and arrange to develop the kind of data you will need via the legislative language in Table 2 in the congressional veto process. You must also specify reporting dates for receipt of evaluation briefs which will coincide with the times at which issues will be most salient. Most routine but significant issues can be foreseen accurately enough to be built into a committee schedule.

"Cross-examination" questions and staff review. On receipt of an evaluation study brief, committee staff should review the brief and formulate a list of questions for circulation to members which bear on the relevance, validity, and sufficiency of the evidence in the brief. These questions should be circulated to members in

advance of the hearings, along with each copy of each brief. Such questions should be directed to the witness testifying the actual hearing.

The hearing. The procedure outlined so far is aimed at providing Congressmen with access to direct evidence. The hearing should be a forum in which challenges to that evidence can be raised and settled. Hence, the hearing should be conducted with the support of examination of witnesses by expert consultants on behalf of the committee if necessary.

Results of the hearings: Workable reports. The product of a hearing report should be evidence which has been sifted and sorted by the committee to guide floor voting, for authorization committee support, for the work of the appropriations, budget or tax committees. Such committee reports can be a data base for mark-up decisions, committee decisions on Congressional budget resolutions, as well as for challenging the Presidential budget's responsibility.

Appeals: Floor Votes and Subsequent Committees. The action of a committee can in effect be appealed by reexamination of evidence, or by providing new evidence at points of subsequent action. For example, in appropriation committees, budget committee or floor voting.

Finally, it should be noted that the format for reporting evaluation studies should suit the needs of the committee. In some cases, this can be done in a committee hearing context, other times in informal meetings. In any case the major consideration, assuming a valid evaluation has been completed, is that the results

be reported in a form that will be useful to committees and members of congress in their legislative deliberations.

APPENDIX B

SUMMARIES OF EVALUATION TECHNIQUES
(Being Developed)

Preprogram measurements on the measuring instruments that are to be used to define program effects are usually needed. Yet it is common for a new program to be implemented immediately, before the measuring instruments have been developed or applied. Where program effectiveness is to be measured with novel measurement devices (and this is the usual situation) and where the program is a pilot program being instituted to inform Congress about the desirability of a potential National Program, the legislation might well specify that program implementation may be deferred until the preprogram measurement activity has been completed. Legislation might allow as much as one year for measurement development and the full scale preprogram measurement activity. (Where appropriate field-tested measures already are available, a six-month period for organizing the measurement staff and executing the preprogram measurement activity would usually be sufficient.)

Untreated comparison groups are often needed to make sure that the preprogram-postprogram differences are not due to other events, such as inflation, recession, the shutting-down of a major employer, unusual weather conditions, increasing familiarity with the measuring instruments, and the like. If the measuring instruments are such that other probable events (in addition to the new program) are likely to cause changes, then the legislation should consider specifying that one half or more of the measurement effort be devoted to making measurements on comparison groups not receiving the treatment. At present, most evaluation staffs do not feel they have this authority, and many evaluations lack this much

APPENDIX C

CONSIDERATIONS IN DESIGNING EVALUATION

needed comparison base. (If the program is expensive, it is usually cheaper to increase the statistical dependability of the results by having considerably more persons or other units in the comparison group than in the program group. The common practice of having the comparison group smaller than the program group is neither economically or statistically efficient.)

Uncontrolled variation in the treatment being studied was seldom a serious problem in the scientific laboratory settings in which the designs now applied to program effectiveness evaluation were developed. In such scientific settings it is taken for granted that the kind of treatment being evaluated is carefully and fully described, is sufficiently simple to so describe, and is in fact provided as described. The wise user of program evaluation can make none of these assumptions about the program treatment whose effectiveness is being evaluated. However if the legislative user has taken our advice in Steps 3 and 4 regarding measurement of program delivery, confounding of program effectiveness by uncontrolled variation in program services can be controlled in one of the three following ways.

1. Make no deliberate effort to control variation in program services at the time they occur, but to require that measures of program services be used as post hoc controls in the statistical analyses of program effectiveness data. This alternative is slightly better than nothing, but often falters on technical problems.

2. A second alternative is to require that a program be certified as complying with the measurable definitions of the program obtained

in previous steps. Consistent compliance of program services throughout the period of effectiveness evaluation should be documented. In effect, this alternative provides that what is to be evaluated for effectiveness has in fact been delivered as intended--an easy assumption in a laboratory, but not in the real world of Federal programs.

3. Planned variation in program services is a third--and probably best--way to assure that the delivery of program treatment does not confound evaluation of its effectiveness. In planned variation the levels and types of program services are deliberately and systematically varied in a logical scheme which provides the evaluator with maximum opportunity to detect program effectiveness and associate it with program services. Planned variation requires full cooperation and coordination of those administering program services with program evaluators, but the benefits and additional knowledge gained thereby easily offset the extra effort required. Measurement of program services is a necessary condition for planned variation, as for the other alternatives. Thus we strongly recommend that legislative users of program evaluations insist that evaluations of program effectiveness include measurable definitions of program services, valid measurements for those services, and the best possible opportunity for evaluators to rule out uncontrolled variation in program treatments that might confound program effectiveness.

Randomized selection procedures for admission to the program are often desirable to increase the comparability of the comparison group. For example, in compensatory evaluation programs, it frequently turns out that the only schools that will volunteer for the tedious comparison measurements are high morale schools that have nothing to fear from having their educational success measured. Such comparison schools tend to make the needy program schools look bad even when the program is effective. Legislation might well permit a procedure whereby a lottery was used to select program schools and comparison schools from among applicant schools that had agreed to cooperate no matter which group the lottery assigned them to. If the program is a pilot program, or even an operational program that is underfunded, the use of randomization procedures to select program and comparison groups is a fair and democratic way of allocating scarce resources, and in addition makes program evaluations optimally interpretable.

Randomization of program participation among eligible participants is desirable when, as is usual, the evaluator can neither know nor control all the characteristics of participants which could influence program effectiveness or the outcome measures. The principle of randomization provides procedures whereby every potential participant has an equal chance of receiving program services. Opportunity for randomization will permit use of much stronger evaluation designs by the evaluator, and thereby provide legislators with much better evidence for oversight. In authorizing use of randomization of program participation among those eligible,

legislative users of evaluation should of course be watchful to see that basic rights of participants are not compromised. Usually, however, randomization procedures serve to increase equality of opportunity rather than to restrict freedom. Coerced participation in a program is undesirable with or without randomization.

Evaluation research design is extremely complex and requires many technical judgments which cannot be made responsibly by the layman untrained in research design. Legislators, however, do not meet their own responsibility by merely surrendering the whole matter to experts. Legislators have a responsibility to raise basic questions about the validity of the evidence they will be getting in the program effectiveness evaluations they authorize for use in oversight.

Quantified eligibility criteria for programs, if strictly applied, make possible a second-best substitute for randomized selection. Most programs that are intended for the neediest (or the most deserving) are in practice administered in ways that preclude any interpretable comparison between the outcomes of those who get the program and those who do not. If instead, the admission criteria can be specified quantitatively (as in terms of income level, or reading comprehension scores, or multiple rating scales used by admission staffs, or explicit composites of such ingredients), if the program is then given to those scoring most eligible, if outcome measures are made not only for the program recipients but also for unaccepted applicants beyond the cutting point and if the outcome measures are analyzed in terms of the preprogram eligibility

scores, then a very useful estimate of program effectiveness can be made. To make this possible, legislation might well specify that the program be given to the most eligible applicants and that eligibility should be in terms of a quantitative index based upon specified factors. Legislation specifying a quantitative eligibility dimension but not a specific cut-off score is most useful. Especially when individuals are being selected (rather than schools, etc.) a specific cut-off score, if generally known, can lead potential applicants to fail to apply or to falsify their status (earnings, etc.), both effects tending to invalidate the analysis.

Administrative records are often highly relevant to program evaluation. There are available ways of using them that fully protect the privacy of the individuals involved. It will often be optimal for legislation to specifically authorize such appropriately safeguarded uses. It will rarely be desirable for the legislation to preclude such use. Many programs have among their goals modifying factors that are already being recorded by some government agency; earnings of the poor and undereducated, claims on unemployment insurance, school achievement scores. For such programs administrative records for program groups and comparison groups have many advantages. They can be much less expensive than to obtain information on the same topic through interviews. They can cross-validate interview findings. They avoid the differential cooperation and attrition often found between experimental and comparison groups. They allow for time-series, that is, for records on program and comparison groups for a number of years prior to the program and a number of years afterwards.

Such time series are often convincing evidence of program effectiveness even without a comparison group. With a comparison group, they make for the strongest evaluation design possible.

Competitive replication with variation is an extremely important source of validity in science which can easily be lost in large-scale program evaluation. Often it would be better to have the program evaluated by numerous smaller scale independent evaluations than by one large-scale effort. At the very least, legislators should consider splitting all major evaluations into two, each to be implemented by a separate, independent research team. The measurement procedures would have the same goals but different details. The many arbitrary decisions that have to be made in any research effort would be made differently. If two such independent evaluations were to come up with the same recommendations, the policy implications would be clear. If they were to disagree, Congress would be thereby informed as to the equivocality of the evaluations.

Competitive reanalysis of program evaluation data is another aid to objectivity which legislators can specifically encourage, by requiring that all data from all measures collected be made available for reanalysis by other persons (subject to deletion of personal identifiers and other protection against disclosure of information on individuals). This issue is discussed in more detail in the manual.

LEGISLATIVE ACTIVITIES
marked to show where "Oversight Questions" in next column may be appropriate to raise.

TABLE 1.

EVALUATION STRATEGIES AND TECHNIQUES WHICH MAY HELP TO ANSWER OVERSIGHT QUESTIONS RAISED IN LEGISLATIVE ACTIVITIES.

Ideal/perception	Bill Drafting	Speech/Floor Debate	Markup	Authorization	Appropriation	Budget	Conference	Voting-Committee	Voting-Floor	Overseas Implementation	Re-Authorization	Re-Appropriation	Hearings	OVERSIGHT QUESTIONS *which can be answered in whole or part by "Evaluation Strategies and Techniques" cited beside each in the next column.*	EVALUATION STRATEGIES AND TECHNIQUES *which can be adapted to provide answers to "Oversight Questions" shown in column at left.*
●				●									○	1. What's the problem? What's the extent of the problem?	1. needs assessment; opinion surveys; Delphi technique.
●													○	2. What kinds of things could be done to remedy the problem?	2. policy analysis; evaluation synthesis; information retrieval .
●				●									○	3. What evidence is there to indicate that each of these remedies could could work?	3. information retrieval; pilot testing; evaluation synthesis.
		○			●	●							○	4. What does it take to make these remedies work? How much will it cost to get the *size* of effect to remedy the problem?	4. needs assessment; pilot testing; cost-effect/benefit analysis; computer simulation modelling
		○			●				●		●	●	○	5. What should the Federal role be? To *develop* remedies? To *supply* remedies (services) directly? To *fund* state or *local governments* to develop or supply remedies? To *provide incentives for the private* sector to develop or supply remedies?	5. policy analysis; *POLITICAL JUDGEMENT*
	●	○	●								●		○	6. Which combination of remedy and Federal role best suits the goals and intentions of a Bill or Act?	6. pilot testing; planned variation; policy analysis; *POLITICAL JUDGEMENT*
●	●	○	●	●			●		●				○	7. Do the goals and intentions of a Bill or Act match up with the nature of the problem, the remedies and the Federal role envisioned by the Bill or Act?	7. policy analysis; *POLITICAL JUDGEMENT*
	●		●	●			●	●	●				○	8. Does the Bill/Act say what Congress intends *clearly* enough (in legislative language) and *conspicuously* enough (in legislative history) to set criteria against which you can compare Congressional intent with an Agency's plans, program implementation and budgets?	8. *POLITICAL JUDGEMENT* in consultation with independent evaluation specialists
								●		●			○	9. Are Agency goals and plans clear enough for you to tell if they are consistent with Congressional goals and intents?	9. pre-assessment of evaluability; certification of readiness for evaluation
					●					●		●	○	10. Are Agency program plans and objectives clear enough to evaluate for Executive-Branch policy review and program management? What Agency resources and personnel are devoted to program evaluation specifically?	10. pre-assessment of evaluability; policy analysis; *POLITICAL JUDGEMENT*
		○								●	●	●	○	11. Are program services being delivered in the type, amount, quality and time-frame that Congress intended?	11. process evaluation; responsive evaluation; p.p.b.s.(or other systems analysis approaches); program auditing; time and motion studies; blue-ribbon panels.
		○								●	●	●	○	12. Within a program what *kinds* of projects are *succeeding*? How many? What *kinds* of projects are not *succeeding*? How many? How are the succeeding projects *different* from the others--i.e., what works?	12. success search; modus operandi evaluation; institutional self-study
		○									●	●	○	13. Would the results reported for a program have happened even without the program?	13. "experimental" program/evaluation design; modus operandi evaluation
		○									●	●	○	14. Is the program effective in meeting the goals or needs set forth in the legislation which gave birth to it?	14. effectiveness evaluation; adversary evaluation; competing data analyses
		○									●	●	○	15. Is the program effective enough to solve the problem that the legislation originally addressed?	15. impact evaluation; needs assessment; public opinion survey
								●			●		○	16. What *side-effects* does a program have? How big are they? How valuable are they?	16. side-effects survey; "goal-free" evaluation; blue-ribbon panels
		○						●			●	●	○	17. What can a program mean in personal, human terms? The bad? The good?	17. human resources accounting; case-studies; one person-at-a-time studies
		○									●		○	18. Has the problem changed that was originally addressed by the Act? In what ways? To what extent?	18. needs assessment; policy analysis
		○								●	●		○	19. Is there now a better way of getting at this problem?	19. policy analysis; information retrieval; pilot testing; evaluation synthesis
		○									●	●	○	20. Should we continue the program? As it is? With major changes? Not at all? Fold it into another program?	20. *POLITICAL JUDGEMENT*; needs assessment; opinion surveys; blue-ribbon panels

APPENDIX E

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PROGRAM EVALUATION: EMERGING ISSUES OF POSSIBLE LEGISLATIVE CONCERN RELATING TO THE CONDUCT AND USE OF EVALUATION IN THE CONGRESS AND THE EXECUTIVE BRANCH

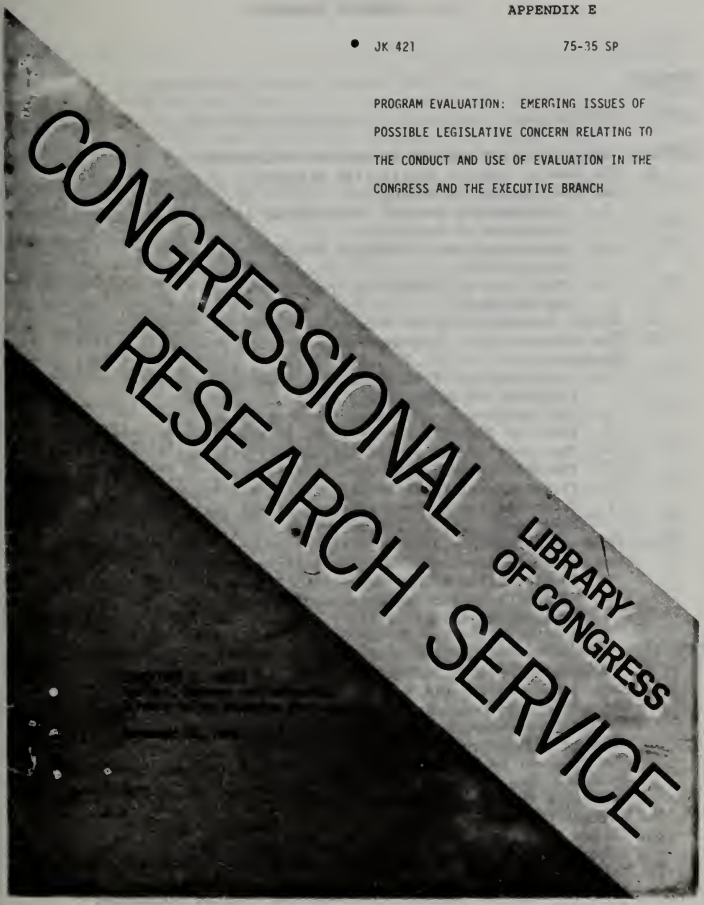


TABLE OF CONTENTS

Page

ABSTRACT

PART I. INTRODUCTION 1

PART II. THE INITIATION AND USE OF PROGRAM EVALUATION 7
A. The Need to Clarify Legislative Statements of Program Goals and the Purposes of Evaluation 9
1. Discrepancies between the Purposes of Evaluation and the Techniques of Evaluation 9
2. Recommendations to Specify Program Goals in Legislation 11
3. Criticisms of Specifying Program Goals in Legislation 13
B. Better Communication for Effective Evaluation 14
C. The Integration of Program Evaluation into Program Management 17
1. Incorporation of Evaluation into Agency Program Planning and Budgeting 17
2. The Development of Evaluation Work Plans 19
3. LEAA: An Illustration of These Deficiencies 19
4. The Contribution of Evaluation Work Plans to Evaluations Performed at the State Level 20
5. Proposals for Comprehensive Evaluation Plans 21
6. Proposals for a "Preassessment of the Evaluability of Programs" 22
D. The Need for Better Dissemination of Information on Program Evaluations Supported Under Federal Agency Auspices 23
1. Investigation by the General Accounting Office 24
2. NIMH/UCLA Project on Data Bank of Program Evaluations (DOPE) 24

PART III. IMPROVED COORDINATION OF PROGRAM EVALUATION IN THE EXECUTIVE AND LEGISLATIVE BRANCHES 26
A. Issues Surrounding the Need to Incorporate Program Evaluation Findings into Executive Branch Budget Processes 26
B. Proposals to Give the Office of Management and Budget Program Evaluation Responsibilities 29
C. The Proposal to Establish a Federal Program Evaluation Office in Either the Office of Management and Budget or in the Executive Office of the President 29
D. Current OMB Initiatives in Program Evaluation 30
E. Issues Relating to the Improvement of Legislative Branch Program Evaluation Capabilities 32
F. Issues Surrounding the Role of the General Accounting Office in Providing the Congress with Improved Program Evaluation Capability 36
1. Basis of GAO's Statutory Authority for Program Evaluation 36
2. Evolution of GAO's Program Evaluation Activities 36

TABLE OF CONTENTS (cont.)

		Page
	3. Illustrations Provided by the GAO of Its Program Activities	38
	4. Other GAO Program Evaluation Activities	39
	5. Activities and Legislation in Support of Giving GAO More Responsibility for Program Evaluation	39
PART IV.	THE PROCUREMENT AND CONDUCT OF PROGRAM EVALUATION RESEARCH	41
A.	Issues Relating to the Funding of Program Evaluation Research	42
	1. The Lack of Appropriate Information	42
B.	Difficulties of Obtaining Information on Types of Performers of Program Evaluation Research	45
C.	Specific Issues Relating to Federally Funded Research and Development Centers as Performers of Program Evaluation Research	47
D.	Issues Relating to Funding Mechanisms (Grants and Contracts) in Program Evaluation Research	49
	1. Issues Relating to Profit- Versus Non-Profit-Making Performers	49
E.	Legislative Requirements to Mandate a Certain Percentage of Funding for Program Evaluation	50
F.	Alternative Institutions for the Conduct of Program Evaluation Research Under Federal Agency Auspices	51
PART V.	METHODOLOGICAL ISSUES IN THE CONDUCT OF PROGRAM EVALUATION	58
A.	Experimental and Non-experimental Research Designs	58
B.	Scope and Limits of Social Experimentation	59
	1. Legislative Interest in the Ethics of Experimentation	65
C.	The Need for Continuous, Appropriate Impact Data	65
D.	Cross-fertilization Between Advances in Social Indicators Research and Improvements of Data Required for Program Evaluation	69
PART VI.	THE POSSIBLE ISSUES OF LEGISLATIVE CONCERN RAISED BY INFORMATION PRESENTED IN THE REPORT	75

ABSTRACT

The conduct of program evaluation research has grown considerably in recent years, in response to explicit legislative mandate as well as executive agency directive. However criticism abounds about the utility to the government of many of these types of research. This report discusses some of the factors --- both governmental and non-governmental which contribute to this situation. It also identifies recent actions taken to remedy the discrepancy between the promises and utility of evaluation research. Remaining issues of possible legislative concern are also listed.

PART I. INTRODUCTION

Federal expenditures for program evaluation are estimated to have risen by more than 500 percent from 1969 to 1974, from $20 million to more than $130 million. This increase in program evaluation activities reflects two important trends. The first is a shift in total Federal budget expenditures toward greater emphasis on human resources programs, from approximately $65 billion in 1969 to almost $173 billion in 1976. 1/ The second trend consists of a "many-fold multiplication" in congressional appropriations for evaluations in response to increasing demands from the Congress, the President, and executive agencies for greater accountability and evaluation of the resources devoted to social programs. 2/ The conduct of program evaluation is also part of a broader trend to provide decisionmakers in both executive and legislative branches of Government with objective information or policy advice on the effects of Federal actions and programs, preferably before large-scale application. 3/ Dr.

1/ Executive Office of the President, The United States Budget in Brief, Fiscal Year 1976, Washington, D.C., U.S. Govt. Print. Off., 1975. p. 7.

2/ Mushkin, Selma J. Evaluation: Use With Caution. Evaluation, v. 1, 1973: 31. The Senate Agriculture Committee's needs for evaluation especially an evaluation of the Farmer's Home Administration are described in James W. Giltmier. Policy Formation Through Program Evaluation and Systems Analysis: A Congressional View, mimeo, 20 pages, paper presented before Evaluation Seminar, (held monthly under Sen. Brock's authority), Seminar held November 20, 1974, U.S. Capitol.

3/ Program evaluation activities required under the Congressional Budget and Impoundment Control Act are described below in this Introduction. In addition, The Office of Technology Assessment, established under P.L. 92-484, October 13, 1972, as an information and analysis office attached to the Congress, will "...provide [the Congress with] early indications of the probable beneficial and adverse impacts of the applications of technology..." and other relevant information, to assist in the legislative process. [See: U.S. Congress. Senate, Committee on Rules and Administration. Subcommittee on Computer Services, Technology Assessment for the Congress, staff study, November 1, 1972, 92nd Congress, 2nd session, Washington, D.C. U.S. Government Printing Office, 1972. (Committee Print.)] Judicial interpretation of the National Environmental Policy Act of 1969, now reflected in revised guidelines issued by the Council on Environmental Quality, requires the submission of 102 impact statements on a wide variety of major Federal activities which may impact on the "human environment," broadly defined. These activities include construction of facilities, alterations to the natural physical environment, funding proposals, and administrative actions, as well as proposals for different types of Federally supported scientific research and

H. Guyford Stever, the President's Science Adviser estimates that $835 million will be obligated for social R and D programs in the fiscal year 1975. In fact in discussing the 1975 budget message he singled out for special consideration as social experiments designed to generate information for public policymaking, three programs in health insurance, income maintenance, and housing allowances, with obligations estimated to total $33.9 million. 4/

Concurrent with increasing activity in social program evaluation, however, there is evidence of heightened concern by Members of Congress, agency program administrators, and social scientists, with inadequacies in program evaluation methodology, procedures for data collection, procurement, administration, and utility of program evaluation, especially in planning, oversight, and budgeting functions.

The history of Federal "social program evaluation" activities has never been fully chronicled. Similarly, there is no detailed analysis of the merits of evaluation objectives, programs, and approaches used by different social program-oriented agencies. This report is designed to provide the Congress with background information on existing and emerging issues of concern relating to evaluation. Part I is this introduction. Part II deals with some general issues in program evaluation: its objectives, communications between researchers and program managers, and the difficulties of using evaluation in agency management procedures. Part III treats OMB program evaluation activities, proposals for interagency evaluation mechanisms, and activities surrounding improvement of legislative branch programs evaluation capabilities. Part IV deals with issues relating to the procurement and conduct of program evaluation research from the point of view of both the evaluation researcher and the government user. Part V deals with methodological issues in the conduct of program evaluation. The possible issues

development which may result in development of technology with a potential impact on the environment. (See: Council on Environmental Quality. Preparation of Environmental Impact Statements, Guidelines. Federal Register, v. 38, no. 14, Part II, August 1, 1973).

4/ The Science Adviser, "Federal Budget for Science and Technology - FY 1975," February 4, 1974: 8.

of legislative concern raised by information presented in the report are collated in Part VI.

The term "program evaluation" is used in two general ways in the Federal government. At a very aggregated level, the term denotes a process of assessing cost and effectiveness to ascertain the appropriate funding level for a program in relation to other national goals. At a less aggregated level, the term refers to the processes of evaluating a particular agency's program to determine whether and to what extent it achieves its purposes (impact evaluation), and whether it is administered efficiently (process evaluation). Decisionmakers use these evaluations in deciding whether a program should be continued, modified, terminated, or replaced by another "more beneficial and more effective" program.

The term "program evaluation" has been associated with any activity to measure the effectiveness and outcome of a program. However, it has been most widely associated in recent years with evaluation of major social programs, such as educational intervention strategies, work incentives, and juvenile training. In this respect, evaluation, according to Wholey, et. al., provides "objective information to program managers and policy-makers on the costs and effects of national [social] programs and local projects, thereby assisting in [promoting] effective management and efficient allocation of limited resources." 5/

Federal agencies have developed a number of different types of program evaluation mechanisms. The Congress mandates some evaluations, which are conducted at stipulated funding levels and with mandated techniques. Some agencies initiate evaluation to provide information for program planning and budget justifications. Effective coordinated program evaluation offices exist in some agencies. Other agencies have not organized their program evaluation activities formally.

5/ Wholey, Joseph S., et. al. Federal Evaluation Policy: Analyzing the Effects of Public Programs. Washington, D.C., The Urban Institute [1970] pp. 19-20.

One characteristic is common to almost all social program evaluations --- that is methodology. Thus according to Wholey, et. al., "evaluation is research, the application of the scientific method ... to learn what happens as a result of program activities." Evaluation thus includes:

> the definition of program objectives, the development of measures of progress toward these objectives, the assessment of what difference public programs actually make, and the projection of what reasonably could be expected if the program were continued or expanded. 6/

The tools and techniques of program evaluation usually incorporate the basic techniques of social science research --- systematic collection of evidence from a representative sample of the population; translation of information into quantitative terms; and analysis of the information, using statistical manipulation and reference to theoretical notions about human behavior, to "draw conclusions about the effectiveness, the merit, the success, of the phenomenon under study." 7/

Much of the current criticisms of program evaluation research relate to its state-of-the-art and its questionable utility to the government. A number of recent or ongoing governmental and professional activities illustrate these concerns.

The need to improve the state-of-the-art of program evaluation is underscored by the establishment within the Research Applied to National Needs program (RANN), of the National Science Foundation, of a $2.5 million program to provide "rigorous examination" and refinement of the techniques of program evaluation and policy-oriented research in the fields of labor, youth, health, and criminal justice. 8/

The Science and Technology Policy Office of the National Science Foundation is supporting three research projects on social science policy, designed in part to improve the conduct and use of program evaluation. These studies are:

6/ Idem.

7/ Weiss, Carol H. Evaluation Research: Methods for Assessing Program Effectiveness. Englewood Cliffs, Prentice-Hall [1972] p. 2.

8/ "NSF Initiates Programs for Evaluation of Policy-Related Research Concerned with Human Resources." NSF News Release, April 11, 1973. (NSF 73-137.)

National Academy of Sciences, Study of Social Research and Development and its Role in Policy Making, 6 mos., $116,500;

Social Science Research Council, Conference on Social Experimentation, 12 mos., $23,100; and

University of Washington, Social Policy Analysis and Research in Social Policy-making, 14 mos., $50,000.

Some of these topics were addressed during two conferences held at Dartmouth during the summer of 1974. The first, a conference on Social Experimentation, was sponsored by the Social Science Research Council with funding from the National Science Foundation. The second, the "Dartmouth/Organization for Economic Co-Operation and Development (OECD), Seminar on Social Research and Public Policies," was supported with funds from the Ford Foundation, Dartmouth, and the OECD. The Fifth Annual Conference of the National Capital Area Chapter of the American Society for Public Administration had a session devoted to examining the conduct and utility of program evaluation. It was held on November 14 and 15, 1974 in Washington, D.C.

Numerous bills were introduced during the 93rd Congress to incorporate rigorous program evaluation, pilot test, and cost-benefit analysis procedures into legislation in order to improve congressional oversight of the budget. The Congressional Budget and Impoundment Control Act of 1974 (P.L. 93-344, approved July 12, 1974), established a Program Evaluation Office in the General Accounting Office and gives the agency added responsibility for program evaluation. It also strengthens legislative responsibility for using program evaluation information.

The topic of assessing the quality of evaluation research, especially experimentation, for decisionmaking processes is also receiving some attention by the Special Committee on Federal Agency Evaluation Research of the Division of Behavioral Sciences of the National Research Council. The Office of Management and Budget has also established an Office of Evaluation and Program Implementation to assess these issues. In addition, the General Accounting Office has published several reports directed to congressional committee chairmen, recommending steps to be taken to refine legislative language

requiring program evaluation. The GAO is now preparing a guide for program evaluation standards, expected to be released in the Spring of 1975.

An effort is made in this report to present background information in a manner which serves the interests of the Congress. Many of the issues raised may be relevant to both House and Senate Budget Committees and the Congressional Budget Office, established under the Congressional Budget and Impoundment Control Act of 1974, P.L. 93-344 of July 12, 1974. In addition some authorizing committees as well as committees responsible more generally for overseeing the organization and administration of Government might possibly be concerned with the issues raised.

The following format is used in presenting the material. Each issue is developed by referring to current activities and literature, such as those of the Office of Management and Budget, the General Accounting Office, the National Science Foundation, and the National Academy of Sciences; social science critiques; and published and unpublished Federal agency reports. Also drawn upon if applicable, are legislative activities which address these topics. If available, recommendations for improvement from published sources are given. The possible issues of legislative concern generated by the report are presented in Part VI.

(It should be noted that the Library Services Division of the Congressional Research Service has published multilithed annotated bibliographies on program evaluation. All were prepared by Nancy Davenport. They are: Evaluation Research in Public Administration: Selected References, 1967-1974, October 21, 1974, 9 p.; Evaluations of Manpower Training Programs: Selected References, 1970-1974, October 25, 1974, 8 p.; and Evaluation Research in Social Policy: Selected References, 1970-1974, October 31, 1974, 8 p.)

PART II. THE INITIATION AND USE OF PROGRAM EVALUATION

The General Accounting Office (GAO), estimates that "Federal expenditures for non-defense program evaluation have risen dramatically in the past few years --- from less than $20 million in the fiscal year 1969 to at least $110 million in fiscal year 1972 9/ and $130 million in the fiscal year 1974. 10/ As a result, according to the GAO:

> In response [to the increasing demand for program evaluation] executive agencies have set up new evaluation offices and expanded existing offices. Contracting for evaluation studies has expanded greatly. The trend in number and size of evaluation studies sponsored by the Federal Government has been upward. Private foundations as well have stepped up funding of evaluation studies. State and local governments have increased evaluation efforts and several universities have set up evaluation institutions. 11/

Although program evaluation is extensively used, there is widespread criticism of its utility to decision-makers. For instance, Sen. William V. Roth, Jr., reporting to the Congress on a 1972 staff study entitled Report on Survey of Federal Program Evaluation Practices, said "the study conducted by my staff suggests serious weaknesses in agency evaluative and analytical procedures." The report, he continued, "call[s] attention to the need for the executive branch to improve and extend its attempts to

9/ U.S. General Accounting Office. Program Evaluation: Legislative Language and a User's Guide to Selected Sources. Washington, D.C., U.S. General Accounting Office [June 1973] p. 1. It should be noted that most of the literature on program evaluation indicates increasing demand by both Federal agencies and the Congress, and increased funding by agencies to support the conduct of program evaluations. Dr. Allen Schick disagrees. He reports in a 1973 publication: "...There has been a definite drop of interest in large program evaluation, though many Federal agencies are trying to institutionalize evaluation through the collection of output and performance data." (Allen Schick (Senior Specialist, Congressional Research Service, Library of Congress), "The Pilot Testing of New Programs: An Analysis of Title IV, S. 3984 (92nd Congress)," In U.S. Congress. Joint Economic Committee. Subcommittee on Budgeting, Management, and Expenditures. Improving Congressional Control Over the Budget: A Compendium of Materials, March 27, 1973. Washington, D.C., U.S. Govt. Print. Off., 1973. p. 276. (Committee Print.)

10/ "Program Evaluation in the Executive Branch: Estimate of Funds Budgeted for Fiscal 1974," in U.S. Congress. Joint Committee on Congressional Operations. Congressional Research Support and Information Services: A Compendium of Materials. Washington, U.S. Govt. Print. Off. [May 1974] pp. 289-290.

11/ Program Evaluation: Legislative Language and a User's Guide to Selected Sources, op. cit.: p. 1.

measure the accomplishments of governmental activities and weigh these accomplishments against their costs." 12/ Federal administrators who fund and oversee program evaluation research have also criticized its utility. For instance, Robert G. Bruce, Assistant Administrator for Program Planning and Evaluation, Social and Rehabilitation Service, HEW, reports: "We might as well be candid: Federal program evaluations so far have been largely ineffective." 13/ Garth Buchanan and Joseph Wholey, program evaluation researchers at the Urban Institute, a research and evaluation agency created first to serve the Department of Housing and Urban Development, observe similarly:

> . . . While we have seen that increasing amounts of money are being budgeted for evaluation, we conclude that this increasing support must be due to a continuing recognition by the Government that evaluation information is needed for the development and management of social programs, rather than to the recognition that evaluation as currently practiced is the answer to these needs. We are led to this conclusion because in our judgment, the impact of evaluation results on program development and improvement over the last two years has been disappointing when compared with the amount of money and effort that has gone into evaluation. 14/

The Office of Management and Budget recently initiated a major effort to improve Federal agency program evaluation capabilities. Agency spokesmen identify four basic difficulties with current Federal program evaluation research. Their concerns parallel those raised above. They are: (1) timeliness for decisionmaking; (2) reliability of the data used and the methods employed; (3) relevance of evaluation activities to major policymaking needs; and (4) insuring that program evaluation reports are made available to and utilized by decisionmakers. 15/

12/ Public Program Analysis and Evaluation for the Purposes of the Executive and the Congress. Statement of the Hon. William V. Roth on the Floor of the Senate. Congressional Record, June 8, 1972 (daily edition): S. 9026. The study referred to is: Report on Survey of Federal Program Evaluation Practices Conducted by the Staff of Senator William V. Roth, Jr., (Delaware), May 1972: 86 pp. (Available from Senator Roth's offfce.)

13/ Bruce, Robert G. What Goes Wrong with Evaluation and How to Prevent It. Human Needs. (Publication of Office of the Administrator, Social and Rehabilitation Service, Department of Health, Education and Welfare.) v.I, no. 1, 1972.

14/ Buchanan, Garth N. and Joseph S. Wholey. Federal Level Evaluation, Evaluation Fall 1972: 21-22. Weiss holds similarly that much evaluation research falls short of the expectations of funders, program staff and evaluators. See her current article: Weiss, Carol H. Between the Cup and the Lip ... Evaluation, v.I., no. 1, 1973: 49-55.

15/ Lewis, Frank L. and Frank G. Zarb. Federal Program Evaluation From the OMB Perspective. Public Administration Review, n. 4, July/August 1974: 314.

The literature on improving the administration of program evaluation raises important issues which may warrant additional legislative concern. These, which will be developed below, are to: clarify the purposes of evaluation; enhance communication between administrators and program evaluators; integrate program evaluation into program management; and establish better information dissemination systems.

A. The Need to Clarify Legislative Statements of Program Goals and the Purposes of Evaluation.

According to the literature, much of the failure of program evaluation can be attributed to policymakers and legislators who write vague statements of program goals, which give evaluators imprecise yardsticks or standards against which to measure program accomplishments and deficiencies or costs and benefits. Dr. Bruce succinctly characterized this lack of definition:

> Program goals have to be carefully defined. There must be clear statements of what a program is supposed to accomplish -- clear in the sense that you can pick them up and go out and measure whether or not you have achieved the program goals. Too often there is a tendency to rely upon broad statements of legislative intent to describe the purpose of a program. Such statements only provide a context for defining specific and measurable program outcomes. A lack of such agreed upon definitions to serve as criteria for evaluating a program's performance may be the largest single cause of ineffective evaluation studies. 16/

1. Discrepancies Between the Purposes of Evaluation and the Techniques of Evaluation. The literature reflects several variants on this theme of the need to specify program objectives and legislative requirements for program evaluation.

One theme receiving attention is: many programs are not amenable to evaluation because of the lack of correspondence between their broad objectives and the tools and techniques of evaluation research. On this point, Thomas Morehouse reports that Federal social services programs take one of two forms: maintenance programs or opportunity programs. A maintenance program "provides tangible goods or services to a clearly defined population, such as food or money. An opportunity program, in contrast, does not directly meet the material needs of a population, but is designed to "increase the group's

16/ Bruce, op. cit.

capabilities or opportunities to acquire goods and services (and sometimes status and power) for themselves." These opportunities include providing the individual with job training or education to give him the skills needed to obtain directly goods and services. Innovative social programs, on which most program evaluations are required, are designed to provide opportunity, not goods or services. "The consequence for evaluation," Morehouse reports, "is that program 'outputs' are often more elusive and less easily measured than the outputs of tangible maintenance benefit programs." Instead, these programs are "explorations of problems, objectives, and means." Evaluators therefore are forced to evaluate program performance by using input measures, such as manpower allocated to administer the program or funds spent. Such techniques yield very little information about the effects of the intervention strategy underlying the program. Morehouse concludes that social scientists who conduct evaluations are criticized by policymakers and administrators who "continue to call for 'objective information' and demand 'rigorous scientific' evaluation," and by fellow social scientists who call program evaluation research trivia. 17/

A second widely addressed theme is that non-specific or non-quantifiable statements of legislative program objectives militate against evaluation because broad-ganged programs cannot be evaluated easily with existing social science evaluation techniques which are oriented toward experimentation. 18/ The experimental approach, Morehouse notes, requires that the following criteria be met: "it assumes that a program has well-defined objectives and that its effectiveness can be determined by measuring the extent to which objectives are achieved; the setting in which the program operates should be reasonably "controlled"; the program "treatment should be reasonably uniform; and the

17/ He adds that this is true "...even if performance (using experimentation and quantitative techniques) has often fallen far short of aspirations, and even if many evaluation research projects have been carried out in other, less highly regarded ways." (Morehouse, 871.) The basic source is Thomas A. Morehouse. Program Evaluation: Social Research Versus Public Policy. Public Administration Review [November/December 1972]: 872.

18/ For an explanation of social experimentation and its use in social program evaluation research, see Part V of this report.

program treatment should be applied in a large enough number of cases to provide an adequate sample of program experience." 19/ However, "most of the Federal social action and economic development programs to which evaluation requirements have been attached do not fit this mold." He continues:

> [They often have] broad aims that cannot be specified in clear-cut form; they may be concerned more with changing a situation than with affecting a large number of individuals directly; they generally operate in open, uncontrolled community and regional settings; and a given program tends to take different forms in different situations. The programs, in short, are not themselves designed or administered as experiments. Thus it is rarely that even the basic data collection requirements for evaluation research are structured into program operations, let alone the requirements for standardized treatment, control-comparison, and representative samples. 20/

2. Recommendations to Specify Program Goals in Legislation. Most evaluation in recent years constitutes a response to legislative requirements incorporated implicitly or explicitly into authorizing legislation. Four recent reports have criticized the vagueness of these legislative requirements and offered suggestions for making them more specific, to conform with the methods and procedures of current evaluation practices and to the resources authorized to conduct evaluations. 21/

For example, in March of 1974, the General Accounting Office provided the Congress with an inventory and analysis of legislative language requiring program evaluation. This report, and an earlier one submitted in August of 1972, were designed to provide GAO with information to carry out its expanded evaluation responsibilities under the Legislative Reorganization Act of 1970. 22/ They were intended also to assist congressional committees in carrying out legislative analysis functions required under section

19/ Idem

20/ Ibid., pp. 871-872.

21/ GAO reports cited below; Wholey, et. al. Federal Evaluation Policy, op. cit.: 57-58; and National Advisory Council on Education Professions Development. Search For Success: Toward Policy on Educational Evaluation. A Report of the National Advisory Council on Education Professions Development, Washington, U.S. Govt. Print. Off., June 1974. pp. 35-36.

22/ Legislative References to Evaluation, 1967 (62 pages); preceded by a Letter from the Comptroller General to the Chairmen of each Congressional Committee, August 11, 1972. (GAO No. B-161740); and "Updated Part II of Program Evaluation: Legislative Language," in Congressional Research Support and Information Services, op. cit., pp. 338-339.

136 of the Legislative Reorganization Act of 1946, amended in 1970. 23/ The General Accounting Office surveyed legislative requirements for program evaluation assessing their wording along several dimensions: official responsible for evaluation, measures of effectiveness, methods required, report recipients, report dates, nature of recommendations, and funds authorized. The following conclusions were derived:

(1) Of the 40 acts including evaluation references:
15 acts are in the health and safety area;
5 acts are in the education area;
4 acts are in the transportation area;
3 acts are in the law enforcement area;
2 acts are in the housing area;
2 acts are in the environmental area;
2 acts are in the international area;
2 acts are in the agricultural area;
2 acts are in the economic opportunity area;
the remaining acts are each in a different area-aging, selective service, and employment.

(2) Multiple references to evaluation (more than one section on evaluation) are included in 19 of the 40 acts.

(3) Specific authorization for funding evaluation is included in only 6 of the 40 acts.

(4) Specific wording concerning measures of effectiveness is included in 24 acts.

(5) Eight acts include language specifying methods of data collection and analysis. However, each title of the Economic Opportunity Act includes very specific and detailed language on methods of evaluation including cost-benefit analysis, use of control groups, and standards for evaluation.

(6) Specific reporting date(s) for evaluation results are included in 36 acts. Reporting requirements range from a very general time span (annually) to a very specific date (on or before January 31, for example).

(7) There is a wide range concerning who is specified as responsible for conducting evaluations and who is specified as the recipient of the evaluation reports. Most of the laws (and sections within laws) include evaluation references specifying responsibility for conducting evaluation and dissemination of results.

(8) Most of the laws in the health area and many of the laws in the other areas include wording for recommendations expected from the evaluations. Most recommendation language is quite specific. Recommendations are expected on a broad range of topics including changes in the legislation, changes in the program, changes in program plans, and improvement in evaluation methods and measures. 24/

23/ According to GAO this section "directs standing committees of the House and Senate to review on a continuing basis, the application, administration, and execution of those laws, or parts of laws, within its jurisdiction in order to assist the House and Senate in (1) its analysis, appraisal, and evaluation of the application, administration, and execution of the laws enacted by the Congress, and (2) its formulation, consideration, and enactment of such modifications or changes in those laws, and of such additional legislation as may be necessary or appropriate."

24/ Congressional Research Support and Information Services, op. cit., pp. 338-9. The 40 acts requiring evaluation are summarized in the publication.

In support of assisting committee chairmen's efforts to improve the quality of legislative language requiring evaluation, the GAO subsequently suggested the following "model" of statutory evaluation requirements:

> The (head of the agency) shall submit an evaluation report, to (committees on appropriations and committees having legislative jurisdiction over the program) no later than of each year. Such report shall--
>
> 1. contain the agency's statement of specific and detailed objectives for the program or programs assisted under the provisions of this Act, and relate these objectives to those in this Act.
> 2. include statements of the agency's conclusions as to effectiveness of the program or programs in meeting the stated objectives, measured through the end of the preceding fiscal year.
> 3. make recommendations with respect to any changes or additional legislative action deemed necessary or desirable in carrying out the program or programs.
> 4. contain a listing identifying the principal models, analyses and studies supporting the major conclusions and recommendations, and
> 5. contain the agency's annual evaluation plan for the program or programs through the ensuing fiscal year for which the budget was transmitted to Congress by the President. 25/

3. Criticisms of Specifying Program Goals in Legislation. It should be noted that important objections have been raised to the notion of the Congress's specifying explicit legislative program objectives and goals for program evaluation purposes. Dr. Harold Orlans, of the Brookings Institution, reports that complex political and pluralistic forces in the legislative process generate "...social programs [which] are marked by ... multiple and contending forces.... ...Congress must serve more easily by amalgam and compromise measures, which offer something to many different groups and are lent a semblance of unity by goals broad enough to embrace the spectrum of interests involved." 26/ He substantiates this notion, in part, with comments from Charles Schultze, based on his experiences as the Budget Bureau Director responsible for implementing the Programming-Planning-Budgeting System:

25/ Marvin, Keith and James L. Hedrick. GAO Helps Congress Evaluate Programs. Public Administration Review, no. 4, July/August 1974: 331.

26/ Dr. Orlans bases his comments on a study he prepared on "The Use of Social Research in Federal Domestic Programs," prepared for the Research and Technical Programs Subcommittee of the House Committee on Government Operations. They are in: Contracting for Knowledge: Values and Limitation of Social Science Research, Jossey-Bass, Inc., 1973. pp. 123-124.

"[Schultze] points out how diametrically opposed are the evaluator's need for a clear statement of program goals and the contrary need for vagueness in getting a program adopted in the first place:

> The first rule of the successful political process is, 'Don't force a specification of goals or ends.' . . . [The] necessary agreement on particular policies can often be secured among individuals or groups who hold quite divergent ends. . . .The Elementary and Secondary Education Act of 1965 . . . was enacted precisely because it was constructed to attract the support of three groups, each with quite different ends in view. Some saw it as the beginning of a large program of Federal aid to public education. The parochial school interests saw it as the first step in providing . . . financial assistance for parochial school children. The third group saw it as an antipoverty measure. . . If there had been any attempt to secure advance agreement on a set of long-run objectives, important elements of support for the bill would have been lost, and its defeat assured. 27/

As a variant of this theme, the Research and Policy Committee of the Committee for Economic Development in a report on Improving Federal Program Performance, notes that program objectives and legislative statements of intent are so complex that adequate output or achievement measures should be developed only after the program has begun and enough time has elapsed to indicate its impacts. 28/

B. Better Communication for Effective Evaluation.

Another issue, frequently treated in the literature, is the need for improved communication between social program evaluators and agency staff who develop program objectives and requirements for evaluation, in order to enhance the correspondence between the capability of evaluators and the expectations for evaluation. Generally reports on the need for better collaboration focus on the following themes:

27/ Orlans, op. cit., pp. 124-5, citing: C.L. Schultze The Politics and Economics of Public Spending. Washington, D.C., Brookings Institution, 1968. pp. 47-49.

28/ Improving Federal Program Performance. A statement on national policy by the research and policy committee of the Committee for Economic Development, September 1971: p. 61.

-there is a need for social scientists and program administrators to determine jointly objectives of program evaluation and methodologies for research before an RFP is published; 29/

-program evaluators who are social scientists frequently prepare long, jargon-ladden reports which are not written in a manner which meets policymaking needs and which are often overdue, causing Federal agencies to award funds for program evaluation to profit-making research units which prepare timely, but often inadequate and sometimes invalid program evaluations; 30/

-many social scientists shy away from doing program evaluation research because they do not consider it fruitful for generating basic information and knowledge required to advance the social sciences as disciplines, and the university peer reward structure does not value evaluation research the way it does basic research and applied research in the social sciences;

-Federal agencies are not properly organized to administer social science research programs, and administrators do not understand the complexities and limitations of social science analytical capabilities; and

29/ This issue is explored in greater detail in Part IV of this report. However it should be noted that literature on this theme is both vituperous and constructive. Reflecting the first position: Behavior Today, a newsletter distributed to the social science community, reports the following on discussion at a session of the September 1971 convention of the American Sociological Association:

> NSF's Joel Snow, OE's John Evans and NIMH's Kenneth Lutterman painted a bright future for social science funding, but emphasized priority on applied and evaluation research. Evaluation research, suggested Peter Rossi from Johns Hopkins, in a breezy but blunt rebuttal, often amounts to research on nonsense. 'Sociologists ought to have the guts to say so.' Politicians, Rossi claimed, controlled the conception of the poverty program, the community health centers, which he called silly, and NSF's new Rann program which he dubbed 'a WPA for engineers and political scientists'. Sociologists, he explained to the government representatives, are hesitant to spend three years of their lives evaluating such programs. There's something wrong with social science and the federal government,' said Rossi. 'We never get a chance to define the problem. The problems, even the social scientists themselves, are defined by the reigning politicians.'

See also: Program Evaluation: Review of Major Issues and Literature, a report prepared with the Instructions of the Hon. Roman L. Hruska. By Genevieve J. Knezo, Science Policy Research Division, Congressional Research Service, Library of Congress, January 31, 1972: 247 pages. (Reproduced and distributed by Law Enforcement Assistance Administration, United States Department of Justice, May 19, 1972.)

30/ For additional information on this issue, see Part IV of this report.

-program evaluators must become more sensitive to the political considerations which impact on the initiation and use of program evaluation; they should consider evaluating the political impacts of a program or at least be sensitive to the political values impacting on a decisionmaker who may or may not use the evaluation report. 31/

31/ The theme of political/bureaucratic barriers and resistance to the use of evaluation and social experiments surfaced repeatedly during the Dartmouth/OECD Conference on Social Research and Public Policies, September 1974. In summary it was noted that the same political consensus or conditions which permit the conduct of experiments or evaluations produce independent political consensus to adopt a program even before the results of the research are available. Similarly, an evaluation or experiment which generates positive results for the intervention strategy will not lead to large-scale adoption of the program if political conditions do not permit it. Good evaluations which yield negative results for program effectiveness may not be used because legislators and agency program managers don't want to see their pet project cut. Good or bad evaluations which yield positive results for program effectiveness may spell the demise of a program since the program may be perceived as having achieved its purposes.

For additional information on these topics see: Campbell, Donald T. Assessing the Impact of Planned Social Change, Background Paper for the Dartmouth OECD Seminar on Social Research and Public Policies, September 13-15, 1974, passim; Weiss, Carol H. Where Politics and Evaluation Research Meet. Evaluation, v. 1, n. 3, 1973: 37-45; and Boeckmann, Margaret. Policy Impacts of the New Jersey Income Maintenance Experiment. A paper presented at the American Sociological Association Meetings, Montreal, August 25-29, 1974, mimeo: 28 pp.

An in-depth study on how decisionmakers use and do not use scientific and technical information, including social science information, is being conducted by Nathan Caplan at the Institute for Social Research University of Michigan. For a short description, see: Science Is Seldom Put to Good Use by U.S. Officials. ISR Newsletter, v. 2., n. 1, Spring 1974: 2, 8.

Recommendations for social scientists to devote more attention to the broker concept in communications -- to obtain a better awareness of policymakers' needs and modes of behavior, decisionmaking requirements, and constraints may be found in: Lane, Robert. Social Science Research and Public Policy. Policy Studies Journal, v. 1, n. 2, Winter 1972: 111; Jones, Ernest. Law, Political Science, and Policy Studies. Policy Studies Journal, Autumn 1973: 56-71; Elkin Stephen L. Political Science and the Analysis of Public Policy. Public Policy, v. 22, n. 3, Summer 1974: 399-422; Shonfield, Andrew. The Social Sciences in the Great Debate on Science Policy. Minerva, July 1972: 426-438; Horowitz, Irving Louis. Social Science Mandarins: Policymaking as a Political Formula. Policy Sciences, v. 1, Fall 1970: 339-360; and Levin, Martin A. and Horst D. Dornbusch. Pure and Policy Social Science: Evaluation of Policies in Criminal Justice and Education. Public Policy, v. 21, n. 3, Summer 1973: 383.

C. The Integration of Program Evaluation Into Program Management.

Recent congressional reviews of program evaluation in specific agencies and social science assessments of ways to improve the use of program evaluation research stress that evaluation would be more useful if these activities were better integrated into policy planning and program management. It is asserted that social scientists, program evaluation researchers, and program evaluation managers must take steps to enhance this cross-fertilization of the conduct and utility of such research.

1. Incorporation of Evaluation Into Agency Program Planning and Budgeting. The absence of a link between evaluation research and decisionmaking, especially budgeting, is probably the most important impediment to effective use of evaluation research. Buchanan, Horst and Scanlon recently completed an examination of the evaluation and decisionmaking systems of the Department of Labor and the National Institute of Mental Health. On the need to incorporate evaluation into decisionmaking in these agencies, and by implication into others, they observe:

> [An organizational adjustment is needed to establish] a formal relationship between evaluation planning and an agency's decision processes. In the absence of such a relationship, the same types of evaluation questions are raised year after year in different decision contexts -- issue papers, strategy papers, and legislative proposals -- without any apparent contribution or resolution by the evaluation system. If the evaluation information is ever to penetrate agency operations, the evaluation models will have to become an integral part of the decision process. This will require training of key staff -- evaluation planners, program managers, policy-makers -- in the design and use of the evaluation models. 32/

Buchanan and Wholey observe that Federal agencies have a responsibility for incorporating evaluation into program management systems and that "the establishment of an evaluation system usually requires the integration of several systems relating to planning, management, and data collection." 33/ Such integration necessitates

32/ Buchanan, Garth Pamela Horst, and John Scanlon. Improving Federal Evaluation Planning. Evaluation, v. 1, no. 2, 1973: 90.

33/ Buchanan, Garth N. and Joseph S. Wholey. Federal Level Evaluation. Evaluation, Fall 1972: 22 and passim.

"coordination among several organizational units and sometimes ... changes in the administrative structures themselves," actions which are not easily taken by entrenched Washington bureaucrats. Walter Williams, a former chief of the Research and Plans Division, Office of Economic Opportunity, evaluated the organizational problems surrounding the failure of major social program evaluations of HEW, HUD, the Department of Labor and the Office of Economic Opportunity in the late 1960s. 34/ He made the following administrative recommendations to fashion closer functional authority between research and implementation: (paraphrase)

(1) the central research analyst should be given more power to generate research requirements and policy analysis required to develop recommendations regarding program funding and implementation;

(2) the analyst should be given more money to conduct long-range social experimentation research and evaluation;

(3) more feedback loops should be built between the field and the central office to overcome some problems of implementation;

(4) the central analyst should have capability to fund social science research which leads to recommendations on program improvement rather than merely program achievement; and

(5) more attention should be paid to stressing outcome objectives in implementation rather than input measures. 35/

34/ Williams' major points were summarized in an article reviewing major recent critiques of program evaluation and social experimentation methodology: "(1) the major failure of social action programs in the 1960s was in not being able to move from the design of the program to the implementation of the program, particularly in the field; (2) the major deficiency in data was that it was macronegative (showing how many blacks were below the white age group in certain reading achievement tests) instead of micropositive (how do you improve that reading level); (3) the central analysis focused too much on what was happening in Washington and not enough on what was happening at the local level; and (4) the social science research community is not structured to respond to the analytical needs of social agencies - its reward structure mitigates against research directly in support of policy analysis." (Robert E.C. Wegner. Evaluating the Evaluators. Public Administration Review [January/February 1973]: 85-6).

35/ Williams, Walter. Social Policy Research and Analysis: The Experience in the Federal Social Agencies. New York, American Elsevier Publishing Company, Inc. [1971] pp. 180-1.

Weiss's report on administrative obstacles to effective program evaluation in the National Institute of Mental Health concludes:

"...While not all of the impediments can be planned away in advance, certain basic [organizational] conditions should be present before evaluation grants are

2. The Development of Evaluation Work Plans. A second class of problems discussed in relation to incorporating program evaluation into management is the need for an agency to develop comprehensive work plans for evaluation. This includes setting priorities among programs to be evaluated and designing a succession of evaluation studies which provide answers required to determine the adequacy of the program over time. Wholey, et. al. summarized this problem in the 1970 study:

> With few exceptions, Federal agencies have not had adequate work plans for evaluating their major social programs.
>
> The lack of evaluation work plans often resulted in haphazard letting of unrelated contracts to evaluate the same program. Contractors designed their own studies, formulated their own questions, and naturally produced data and findings that were not comparable with each other. 36/

3. LEAA: An Illustration of These Deficiencies. A congressional investigation of the administration of the block grant program of the Law Enforcement Assistance Administration attributes major failures in program planning and evaluation to the absence of a well-formulated plan for evaluation. Many of the findings of this study probably also characterize the social program evaluation mechanisms of other Federal agencies. Because of their generality and potential contribution to additional legislative inquiry on evaluation mechanisms, these findings will be summarized:

-Although the LEAA has authority under its enabling legislation to "conduct evaluation studies of the programs and activities assisted under the title," the agency has done little toward making its own evaluation of the effectiveness of programs or projects funded with block grant funds. 37/

-One of the major deficiencies LEAA encounters in developing adequate evaluation plans is that because of poor information systems, the agency lacks knowledge

made. Among the most important are: (1) clarity of purpose for the study, (2) a well-defined and relatively stable program, (3) administrative support, and (4) an able research staff who give a substantial proportion of time to the study." (Weiss, Carol H. Between the Cup and the Lip.... Evaluation, v. I, no. 2, 1973: 55.)

36/ Wholey, et. al., Federal Evaluation Policy, op. cit. p. 35.

37/ U.S. Congress. House Committee on Government Operations. The Block Grant Program of the Law Enforcement Assistance Administration. Part 1, Hearings before a Subcommittee of . . . July 1971. Washington, U.S. Govt. Print. Off., 1971. p. 143.

about the disbursement of grant funds and the purposes to which these funds will be spent. This deficiency should be rectified with an improved grant management information system. 38/

-Equally, if not more important in terms of evaluating management performance and capabilities, neither LEAA nor State agencies which administer the programs have formulated standards for evaluating program progress, success, or failure. Thus, the programs are unevaluated, unaudited, and incapable of being measured as to performance and progress due to the lack of goals or standards. 39/

-Since LEAA does not maintain an inventory of grant programs and lacks a centralized evaluation plan and standard, its efforts sometimes duplicate those of other agencies. 40/

-Many LEAA funds are administered directly by State Planning Agencies, (SPA). The lack of program goals and evaluation standards and guidelines prevents SPAs from adequately administering and evaluating programs. LEAA has the responsibility for providing SPAs with manuals and guidelines for evaluation but has not adequately responded to this need. 41/

4. The Contribution of Evaluation Work Plans to Evaluations Performed at the State Level. Federal assistance to State and local jurisdictions for developing evaluation plans, objectives, methodologies, and information-dissemination systems seems all

38/ Specifically: ". . . .LEAA [lacks] knowledge of the purposes, goals, and specifications of the thousands of State and local projects financed by its block grants. This informational void, still unfilled as LEAA completes its fourth year of operation, makes LEAA powerless to modify programs to avoid deviations and to follow congressional intent. A grant management information system and a reference service, both of which should alleviate these and other monitoring problems of LEAA, are currently being devised by outside consultants under contract to the agency." (U.S. Congress. House. Committee on Government Operations. Block Grant Program of The Law Enforcement Assistance Administration. Twelfth Report by the Comm. on Government Operations. House Report. No.92-1072. May 18, 1972. Washington, U.S. Govt. Print. Off., 1972. p. 8.)

39/ Idem.

40/ Ibid., p. 61.

41/ Specifically: Statement of Mr. Ahart. "In the SPA Guide for 1969 (a manual issued by LEAA to the State Planning agencies for guidance on application awards, and administration of planning and block grants). LEAA stated that it would issue guidelines suggesting appropriate procedures, techniques, and measures for evaluating the contribution to crime control of the block grant projects and expenditures. The guide provided that the State planning agencies, pending issuance of the guidelines, outline in their 1969 State plans a tentative program for project evaluation and the measurement of overall plan performance. . . . We were advised by the LEAA that it had not issued guidelines to the State planning agencies on evaluation methods because of a shortage of manpower. Also we noted that on occasions, information or guidance has been requested from LEAA on monitoring and evaluation methods, and LEAA has been unable to provide the assistance." (The Block Grant Programs of the Law Enforcement Assistance Administration, (Part 1), hearings, op. cit., pp. 143-4

the more imperative since State and local governmental units have been given greater responsibility for program administration and accountability under revenue sharing. A few agencies have encouraged developments in this area, notably Housing and Urban Development and the Office of Management and Budget. 42/ In a partial effort to assist non-Federal authorities in performing required audit functions, the General Accounting Office prepared a report in June 1972, titled Standards for Audit of Governmental Organizations, Programs, Activities, and Functions, 54 pages. This report does not however, provide standards for program evaluation. The GAO is now preparing a program evaluation guidebook, expected to be released in the Spring 1975.

5. Proposals for Comprehensive Evaluation Plans. A number of agencies conducting program evaluation research have begun to develop coherent evaluation work plans to guide both internal agency evaluators and extramural evaluators. 43/ As will be noted below, the Office of Management and Budget is now encouraging activities in this direction. It may be of interest to the Congress to inquire into whether other Federal agencies are taking steps to provide for systematic development and use of evaluation work plans. Wholey, et. al. made a number of recommendations treating this issue. Some of their observations are reproduced below:

42/ See: Ninth Conference on Management Analysis in State and Local Government, November 2 and 3, 1972, sponsored by Institute of Public Service, University of Connecticut. Among the papers were: Program Evaluation: Pitfalls and Potentialities, Dr. Jack Carlson, OMB; Case History Application of Program Evaluation, Keith Marvin, General Accounting Office. The most useful study in this respect is the HUD funded report: Hatry, Harry P. et. al. Practical Program Evaluation for State and Local Government Officials. Washington, D.C., The Urban Institute, September 1972. 134 pp.

43/ For an introduction to this topic, see R.A. Levine and A.P. Williams, Jr., Making Evaluation Effective: A Guide. A report prepared for the Department of Health, Education, and Welfare. Santa Monica, The RAND Corporation, May 1971, 40 pp. (R-788-HEW/CMU.) Fred Spaner and Charles Winder, National Institutes of Mental Health. The Perspective of National Program Development and Administration: Program Needs and Evaluation Activities. Unpublished, February 5, 1971. Presented at American Psychological Association Convention September 1971. Quotation from Federal Evaluation Policy, op. cit., pp. 114-115.

CRS - 22

EVALUATION PLAN

At the beginning of each fiscal year, each agency should develop or update a two to three-year evaluation work plan stating which studies are in progress and which are projected. Approval of this plan should be required at the beginning of each fiscal year as a condition for authority to spend evaluation funds. This plan should be prepared by the agency-level evaluation staff in cooperation with policy makers, budget staff, program managers and operating-level evaluation staffs. Evaluation planning is a continual process: when the agency appropriation is known, the evaluation plan should be reassessed in light of firm budget figures.

Since useful evaluation studies are likely to be costly, agencies should place emphasis on feasible studies of major programs where the value of the findings would outweigh the costs. 44/

6. Proposals for a "Preassessment of the Evaluability of Programs." As a variant of this theme, researchers at the Urban Institute suggest that the conduct and use of program evaluation will be enhanced if federal agency administrators and program evaluation researchers conduct a "preassessment of the evaluability of a public program." The objective of the assessment would be to select appropriate research strategies for evaluation. The following questions, addressing the assumptions of the program, its data base, and the probable use of the evaluation in decisionmaking processes, suggest a sequence of evaluation steps and criteria to be used in determining the "evaluability of a public program" and priorities among different types of evaluation strategies:

- Are the problems, intended program interventions, anticipated outcomes, and the expected impact sufficiently well defined as to be measurable?
- In the assumptions linking expenditure to implementation or intervention, intervention to the outcome anticipated, and immediate outcome to the expected impact on the problem, is the logic laid out clearly enough to be tested?
- Is there anyone clearly in charge of the program? Who? What are the constraints on his ability to act? What range of actions might be reasonably take or consider as a result of various possible evaluation findings about the measures and assumptions discussed above? 45/

44/ Federal Evaluation Policy, op. cit., pp. 114-5.

45/ Horst, Pamela, Joe N. Nay, John W. Scanlon, and Joseph S. Wholey. Program Management and the Federal Evaluator. Public Administration Review, v. 4, July/August 1974: 307. (Part of PAR/special "Symposium on Program Evaluation.") (Footnote continued on p. 23.)

D. The Need for Better Dissemination of Information on Program Evaluations Supported Under Federal Agency Auspices

Several issues are subsumed under the general heading of the need for improved program evaluation information dissemination systems. Among them are: the need for researchers to share experiences in developing methodologies to hasten refinement of program evaluation techniques; to eliminate duplicate funding of methodologies and evaluations of programs; and to insure distribution of program evaluation reports to individuals within an agency and to individuals outside of the agency whose program responsibilities intersect with the program being evaluated.

Howard R. Davis, chief of the Mental Health Services Research and Development Branch of the National Institute of Mental Health, has summed up these concerns:

> Increasing numbers of investigators are working vigorously on methods of measurement and analysis in evaluation; but one researcher hardly knows what the others are doing. Duplication unavoidably is occurring. Incompatible counterparts of evaluation systems are needlessly re-invented. . . . Better methods of exchanging information [should] be developed as soon as possible. Not only would each person producing evaluation knowledge know what others are doing, not only would those needing to implement evaluation programs have a valuable perspective of what is going on elsewhere, but the concepts of evaluation. . . would receive continued clarification. . . . 46/

Perhaps as a partial response to this need, the National Institute of Mental Health awarded a grant to the Program Evaluation Project, Minneapolis Medical Research Foundation, to establish, on an experimental basis, Evaluation, the journal in which this statement is found.

The National Advisory Council on Educational Professions Development made a related recommendation for the administration of each specific program evaluation: "Evaluation research plans can fail in implementation just as programs can fail. Time must be taken to 'walk through' evaluation research designs by applying them to simulated program data, operational settings and decision questions, before applying the evaluation research design to the actual program. Such a process could create much more understanding of various models of evaluation research and alert decision-makers to potential problems and results in advance." (Search for success...., op. cit., 24.)

46/ David, Howard R. Insights: A Solution for Crisis? Evaluation, v. I, no. 1, Fall 1972: 3-4.

1. Investigation by the General Accounting Office. A number of recent reports indicate that far more systematic methods of exchanging information on program evaluation may be required. For example, the General Accounting Office published a report entitled "Program Evaluation: Legislative Language and a User's Guide to Selected Sources," in June 1973. This report was prepared to assist GAO researchers obtain published information and program evaluations to which they could refer in performing their auditing and evaluation functions for the Congress. The author describes and assesses 30 on-going research inventory and published information sources established by Federal agencies. These, among others, include the National Technical Information Service (NTIS); the Science Information Exchange (SIE); ERIC, a research report inventory for federally funded education research; and MEDLARS and NCHSRD (inventories of research in progress or published related to medical and mental health services, respectively). The report indicates the following inadequacies:

> Despite [the] rapid growth in evaluation studies, information as to who is conducting which studies with what findings is not readily available. No single-source document or retrieval system identifies planned, ongoing, and completed evaluations. No single source describes the findings and conclusions of completed evaluations. In fact, no single functional area (such as health, education, or training) has such complete coverage of evaluation studies. Since program evaluation provides perhaps the most comprehensive, objective, and quantitative sources of information on governmental program results, it is important to the government and to the public that these results be identified and made available. Most non-defense evaluations are public information and need to be listed and described.
>
> A number of computer retrieval systems and reference documents listing a large number of studies, including evaluation studies, are available. However, knowledge is generally lacking as to which information sources exist, which sources contain evaluation studies, how comprehensively evaluation studies are described, and how to obtain information from such sources. This chaotic situation makes it a long-term task to develop, maintain, and distribute a comprehensive list and description of planned, ongoing, and completed evaluation studies in all functional areas. 47/

2. NIMH/UCLA Project on Data Bank of Program Evaluation (DOPE). It should be noted that the Health Services and Mental Health Development Branch of the National

47/ Program Evaluation: Legislative Language and a User's Guide to Selected Sources, op. cit., p. 1.

Institute of Mental Health is funding a joint project with UCLA to estsblish an easily accessible computerized information system on program evaluation, called the Databank of Program Evaluations (DOPE). The system, expected to be in operation in early 1975, will enable all researchers who have access to the ARPA computer network (of the Advanced Research Projects Agency) to obtain an abstract of the following information for each program evaluation report and secondary source document included in the system:

-citation,
-status of the program success,
-condition treated
-age, sex, race and income characteristics of the sample population,
-sample size,
-site,
-treatment method,
-characteristics of the study design,
-what is measured,
-what measures are used,
-how data is collected, and
-conclusions.

Evaluation reports will encompass the following topics: alcohol abuse, divorce, juvenile delinquency, neuroses, sexual deviancy, suicide, welfare, health problems with mental health outcomes, criminality, drug abuse, mental retardation, psychoses, sociocultural problems, unemployment, and mental problems of the aged. Three types of search are being used to identify reports of evaluations: (1) journal articles; (2) published and unpublished reports recommended by experts in each subject field, and (3) materials from other computerized data banks, such as Medlars, Psychological Abstracts, and Sociological Abstracts. 48/

48/ Wilner, Daniel M., Robert W. Hetherington, Ellen B. Gold, Daniel H. Ershoff, and Cedric F. Garagliano, Databank of Program Evaluations, Evaluation, v. 1, no. 3, 1973: 3-6. (The project is supported under grant IR 12-MH-2276.)

PART III. IMPROVED COORDINATION OF PROGRAM EVALUATION IN THE EXECUTIVE AND LEGISLATIVE BRANCHES

A. Issues Surrounding the Need to Incorporate Program Evaluation Findings Into Executive Branch Budget Processes

Two topics are included under this heading of improved coordination of program evaluation in the executive branch. The first relates to ways to further incorporate program evaluation findings into executive branch budget processes. The second deals with improved coordination of the administration and use of program evaluation in the executive branch.

The only government-wide requirements for agencies to incorporate program evaluation data into annual agency budget proposals are found in Circular A-11, issued by the Office of Management and Budget. The term "program evaluation" is used very loosely in this circular, since costs and benefits or program accomplishments or outputs are to be stated directly in dollar terms or in number of persons affected, rather than in more hard to measure terms of real, but mostly intangible, program accomplishments. For instance, data to be submitted for Federal Income Security Programs consist of three types: benefit outlays, number of beneficiaries and average monthly benefits, number of individuals benefited by the outlays and number of primary beneficiaries. These data are required of separate target groups categorized as aged or retired; disabled; mothers; surviving spouse; other survivors; unemployed and others. (Sec. 49.) These data requirements differ considerably from requirements for most agency program evaluations, which are designed to determine whether a program should be modified, terminated, or continued. Evaluation requirements under Circular A-11 also do not yield information to determine which among alternative social programs best serves a particular target group or meets an accepted national need. These requirements have also been widely criticized as inappropriate

to the budgeting process in both executive and legislative branches since almost no attempt is made by the Office of Management and Budget to integrate the results of program evaluations and program evaluation information to the annual budget process.[49] Criticism has been heard also that what information the executive branch does collect is withheld from the Congress all too frequently on the grounds of executive privilege. Commenting on this point in 1970, (when Office of Management and Budget was called the Bureau of the Budget), the Joint Economic Committee said:

> Program Memoranda, containing quantitative evaluation of the benefits and the costs of individual programs as well as other evaluative information, have been retained ... on grounds of executive privilege. Special Analytic Studies, presenting the results of detailed study of the efficiency and equity consequences of alternative means of obtaining objectives, are from time to time released, but only after the executive has made a policy decision and then only in a form designed not to upset the decision. Program and Financial Plans, with program budget projections, are held within the executive on grounds of lack of data and the unreliability of estimates. While the list of issues on which the Bureau of the Budget is requesting analysis in the planning and budgeting cycle has been released to the Congress through the subcommittee, the results of the analyses of these issues have been withheld ...
>
> ... The lack of congressional access to much of this information and analysis seriously hinders legislative efforts to scrutinize and control the budget. The widespread use of executive privilege to retain the results of program evaluation and analysis is inimical to the development of an open and responsive political system in which public policy is made by elected political leaders rather than by an anonymous and powerful bureaucracy.[50]

And although OMB asks agencies to describe generally how programs meet national objectives, termination of requirements for agencies to adhere to the Planning, Programming, Budgeting system, in effect, removed requirements for agencies to analyze

[49] Allen Schick, "An Analysis of Proposals to Improve Congressional Control of Spending." In U.S. Congress. Joint Economic Committee. Subcommittee on Budgeting, Management and Expenditures. Improving Congressional Control Over the Budget: A Compendium of Materials. March 27, 1973. Washington, U.S. Govt. Print. Off., 1973. pp. 223-4. (Committee Print.)

[50] U.S. Congress. Joint Economic Committee. Subcommittee on Economy in Government. Economic Analysis and the Efficiency of Government. Report. February 9, 1970. Washington, D.C., U.S. Govt. Print. Off., 1970. p. 9. (Joint Committee Print.)

program accomplishments and deficiencies in relation to program planning. 51/

51/ General information on removal of requirements for PPB, stemming from administrative problems and difficulties in obtaining required information, are reviewed in: Schick, Allen. A Death in the Bureaucracy: The Demise of Federal PPB Public Administration Review, vol. 33, March/April, 1973: 146-156. Specific details on requirements for submitting evaluation data in budget proposals and on the evolution of PPB requirements were supplied by Mr. Joel Anderson, Office of Management and Budget:

According to Mr. Anderson the most important OMB directive on program evaluation is Bulletin No. 68-9, issued April 12, 1968, supplemented specifically by Bulletin No. 68-9, supplement No. 1, July 17, 1969, and supplemented generally by Circular No. A-11, usually revised and re-issued each year. Bulletin No. 68-9 and supplement No. 1 treat the Planning-Programming-Budgeting System. Circulars A-11 treat preparation and submission of annual budget estimates.

These OMB directives treat program evaluation only very generally within the context of "programming" as part budgeting/appropriations submissions to the Congress. Effectiveness is treated in this sense from an economic approach. The "programs" which are to be evaluated for the purposes of preparing data required by these directives are general budget categories, not specific operational agency programs.

President Richard M. Nixon issued a Memorandum to the heads of Federal departments and agencies, May 25, 1970, in which he outlined the importance of evaluating effectiveness and using program evaluation to underpin agency planning and budgeting activities. He outlined general criteria which the required program evaluations were to meet. OMB circular A-11, 1971 (With transmittal Memorandum No. 38), reflects the need for agencies to meet these general criteria in preparing budget estimates. However, the criteria outlined in the Circular are discretionary and diverge somewhat from the specific requirements under the rescinded PPB guidelines. ("Analysis of Changes in Office of Management and Budget Circular No. A-11, Revised June 1971, Comparison of Old Sec. No. 24.1-24.6 to 24.1-24.5, p. 3.)

Program evaluation requirements in the current circular, A-11, Revised, Transmittal Memorandum No. 39, June 12, 1972, are similar to the generalized requirements of the 1971 circular. These requirements are outlined in paragraphs 24.2-24.3 (Analysis and Justification of Programs and 36.1-2 Narrative Statements on Program Performance.) The material requested to fulfill requirements for "Analysis and Justification of Programs" supports the first part of the budget request; material required to meet "Narrative Statements on Program and Performance" in the circular is used for detailed budget appendix. Mention is made of a number of techniques for conducting evaluations, and for relating program objectives and inputs to program benefits and social benefits. However, the Circular seems to leave it up to the discretion of the agency director to use techniques which are most appropriate in evaluating the effectiveness of its programs.

Specific "evaluation" requirements for programs falling under separate functional areas, such as manpower, health, and education, are also detailed in Circular A-11.

B. Proposals to Give the Office of Management and Budget Program Evaluation Responsibilities

A number of proposals have been made to give the Office of Management and Budget explicit coordinating and governing responsibilities for program evaluations conducted by agencies of the Government. Joseph S. Wholey, et. al., examined this issue in a 1970 report which analyzed the evaluation activities of four Federal agencies. They reported: "The executive branch has no system for identifying major questions to be answered through evaluation, for ensuring that high priority studies were carried out, or for ensuring that significant evaluation findings reached appropriate decisionmakers." They recommended that: the Bureau of the Budget (now called OMB) (a) require agencies to develop two-to-three year evaluation plans and to use evaluation information in budgetmaking and legislative review; (b) evaluate the quality of evaluation techniques used by different agencies; (c) conduct cross-agency evaluations "to compare the effectiveness of related Federal programs in achieving common objectives;" and (d) enlarge budget allocations for evaluation staff and resources.52/

C. The Proposal to Establish a Federal Program Evaluation Office in Either the Office of Management and Budget or in the Executive Office of the President

Laurence E. Lynn, Jr., who served as Assistant Secretary for Planning and Evaluation in the Department of Health, Education and Welfare, between 1971 and early 1973, made the most recent proposal in this respect. In order to overcome

52/ Federal Evaluation Policy, op. cit., 24, 58-61. Similar recommendations have been made by the Committee for Economic Development in its report Improving Federal Program Evaluation, op. cit., 59 and by the President's Advisory Council on Executive Organization. Memorandum for the President of the United States on Establishment of a Department of Natural Resources [and] Organization for Social and Economic Programs (including background memoranda and attachments). February 5, 1971, Appendix 5.

the many inadequacies of current program evaluation practices, he proposed the creation of a Federal Program Evaluation Office in either the office of Management and Budget or in the Executive Office of the President to "[supervise] the evaluation activities of federal program agencies, [to conduct] a program of research on evaluation methods, and [to produce] an annual evaluation report."53/ Specifically the proposed Federal Program Evaluation Office (FPEO) would:

> ... determine how to apportion the funds among the FPEO and the agencies in accordance with a comprehensive plan
>
> ... be directly responsible for, and retain full authority over, all program impact evaluations. Adequate qualified staff would be maintained to do the necessary planning, write requests for proposals, review proposals, and most important, closely monitor the work of the evaluation contractor or grantee.
>
> ... be responsible for overseeing the development of plans for program strategy evaluations and project evaluations
>
> ... prepare the annual evaluation report summarizing evaluation findings and work in progress
>
> ... operate a system for rating the performance of evaluation contractors and grantees and for making the ratings available to evaluation officials.
>
> ... [develop a priority framework] to guide the allocation of evaluation resources ... in recognition of resource limitations, the potential value of possible valuations, and the availability of evaluation capacity.54/

D. Current OMB Initiatives in Program Evaluation

As noted above, the OMB has stepped up its evaluation activities in order to improve the management and use of evaluation research. In a recent article two OMB officials, who were then responsible for directing the agency's program evaluation activities, outlined the specific objectives of the present OMB effort. These objectives, directed at each Federal agency, are:

53/ Lynn, Laurence E. Jr. A Federal Evaluation Office? Evaluation, v. I, no. 2, 1973: 29, 62.

54/ Ibid., pp. 62,96.

(a) development of built-in evaluation capability from the inception of each new Federal program; (b) adequate staff to assure quality of output; (c) sufficient planning to focus attention on the high pay-off areas; (d) follow-up procedures to assure that results are utilized (e) organizational alignments to assure full integration with the policy decision process and related and supportive activities; and (f) a proper balancing of long-term and short-term efforts (in-house and external) to meet both quality and timeliness needs.55/

Briefly, OMB's evaluation activities consist of the following: (1) establishment of a Division of Evaluation and Program Implementation under the Associate Director for Management and Operations; the Office is directed by Mr. Clifford W. Graves; (2) establishment "on a very informal basis of a panel of senior Federal executives to serve as a forum for the mutual exchange of ideas and developments within the Federal evaluation community;" (3) initiation of a "... comprehensive survey of Federal evaluation programs that will inventory and catalogue ... such activities;" (4) development of a "cross-agency budget review to assess the adequacy of funding levels for evaluation programs in a number of Federal agencies;" (5) encouragement of all agencies to prepare "formal plans on a periodic basis to direct and guide individual [evaluation] studies to high priority topics;"(6) review of legislative initiatives "to assure that adequate provision is made for evaluation" and for establishment of an appropriate evaluation capability for the program; (7) incorporation of evaluation priorities into the management by objectives effort; and (8) monitoring, on a selective basis, of evaluation studies of particular interest to OMB and the White House.56/

As a first step in carrying out these responsibilities, the Evaluation and Program Implementation Division of OMB conducted a survey of federal agency

55/ Federal Program Evaluation From the OMB Perspective, op. cit., p. 317; each of these objectives is fully described on pp. 314-317.

56/ Ibid., pp. 312-314.

evaluation activities which provides information on the following points:

- persons(s) in the agency responsible for performing different types of evaluations;

- types of activities undertaken;

- magnitude of resources available for evaluation;

- characterization of relationships between the production of evaluation information and decision processes such as management by objectives, budget preparation, and statistical planning; and

- persons who can provide additional information on evaluations conducted.

A draft version of the report was released in June. It is expected that the materials will be updated and disseminated more widely after additional agencies provide responses to the OMB questionnaire.57/

E. Issues Relating to the Improvement of Legislative Branch Program Evaluation Capabilities

The absence of a congressional program evaluation capability has repeatedly been cited as a major impediment to incorporating program evaluation reports into the legislative process. Two frequently mentioned themes are: (1) that the executive branch both conducts program evaluations and assesses the results of program evaluations without presenting reports to the Congress or to an objective critic,58/

57/ Survey of Federal Evaluation Activities. By Evaluation and Program Implementation Staff, Office of Management and Budget, June 1974, draft, loose leaf, various pagings.

58/ On this point Schick reports: "... Evaluation comes too late, after the program has garnered strong client support and is built into the budget base. The classic case is summer Headstart which was serving hundreds of thousands of preschoolers when adverse findings were released. Popular programs are hard to terminate, no matter what judgments flow from the evaluations." ("The Pilot Testing of New Programs: An Analysis of Title IV, S. 3984," In: Improving Congressional Control of the Budget, op. cit., p. 278)

and (2) the Congress does not have necessary staff expertise to analyze such reports even if they were provided. Murray L. Weidenbaum, et. al. summarized these problems:

> Evaluative research is now a virtual monopoly of the executive branch, to the extent that it is used at all. If Congress is ever to oversee executive administration effectively, then it needs professional assistance beyond that provided by existing committee staffs. As imperfect as evaluation techniques are, at the least they would be a useful supplement to existing rules-of-thumb and other subjective approaches.59/

In this same respect the Joint Economic Committee reported:

> The relationship of the executive and legislative branches pertaining to the use of executive analysis and evaluation documents is a serious problem. More serious, however, is the failure of the Congress to provide itself with an analytical capability. Currently, the Congress has neither an adequate capability to interpret or evaluate studies done by the executive and those outside of Government nor the necessary capacity to undertake policy analysis of its own.60/

Evaluation of public welfare programs would be enhanced, the Joint Economic Committee reported in November 1972, by creating an evaluation agency independent of the administering agency and reporting directly to the Congress:

> . . . Enabling legislation usually assigns the task of evaluation to the program administrators. Separation of powers is a well-accepted and venerable principle, and its application is as appropriate here as elsewhere. Administrators are understandably anxious to depict their programs as successful, and evaluations conducted by them (no matter how conscientious they may be) cannot escape being suspected of bias. An independent agency accountable to Congress, should be responsible for evaluation.61/

59/ Weidenbaum, Murray L., Dan Larkins and Philip N. Marcus. Matching Needs and Resources: Reforming the Federal Budget. Washington, D.C., American Enterprise Institute for Public Policy Research [1973] p. 11.

60/ U.S. Congress. Joint Economic Committee. Studies in Public Welfare, Paper No. 3, The Effectiveness of Manpower Training Programs: A Review of Research on the Impact of the Poor. A staff study prepared for the use of the Subcomm. on Fiscal Policy. November 20, 1972. Washington, U.S. Govt. Print. Off., 1972. p. 13. (Joint Committee Print.) The other studies in the series are: Paper no. 1, Public Income Transfer Programs: The Incidence of Multiple Benefits and the Issues Raised by Their Receipt, April 10, 1972; Paper No. 2, Handbook of Public Income Transfer Program: How They Tax the Poor, December 22, 1972; Paper No. 5, Part 1. Issues in Welfare Administration: Welfare---An Administrative Nightmare, December 31, 1972.

61/ The Effectiveness of Manpower Training Programs: A Review of Research on the Impact of the Poor, op. cit., p. 15.

Within the last year or two proposals were made to provide the Congress with a program evaluation capability independent of the executive branch. Most of these responded to alternative ways of meeting some of the recommendations of the Joint Study Committee on Budget Control.62/ One of the committee's major observations was that legislative determination of priorities among programs and of spending levels for these programs would be strengthened if the Congress coordinated more closely the appropriations process and the authorization process (which now fragments legislative review of the evaluation of the effectiveness of particular programs, evaluation of the merits of one program against another, and program funding).63/

During the 93rd Congress, both Houses directed attention to improving the process of determining and evaluating budget priorities to serve national needs and to strengthening the review of the budget process and evaluation of Federal programs. The Congressional Budget and Impoundment Control Act, P.L. 93-344, July 23, 1974, includes two sections which expand legislative program evaluation capabilities. Under section 701, committees are given the authority to conduct evaluations themselves, using pilot tests and cost/benefit analyses, if warranted, or to require agencies to evaluate programs and report the results to committees. Section 702 expands the review and evaluation functions of the General Accounting Office. Under this section the GAO is charged with responsibility for assisting committees in evaluating government programs, including the development of statements of legislative objectives,

62/ The committee was created in October 1972, pursuant to P.L. 92-599, to recommend procedures for improved congressional control over the outlay and receipt totals in the budget and to help establish spending priorities in the budget. The committee presented its interim report to the Congress on February 6, 1973, "Improved Congressional Control Over Budgetary Outlay and Receipt Totals."

63/ See section II. "Tentative Recommendations. Introductory paragraph." (In Interim Report by the Joint Study Committee on Budget Control. Remarks of Hon. Mr. Ullman on the floor of the House. Congressional Record, February 7, 1973: H. 843.)

methods for review and evaluation of programs, and the analysis of program results. The Act also authorizes the establishment of an Office of Program Review and Evaluation in the General Accounting Office.64/

Some of the other bills considered during the 93rd Congress included provisions which would have made pilot testing mandatory or would have required OMB to inventory or to use program evaluation information in preparing budget submittals. (S. 40, Mr. Brock; S. 1030, Mr. Humphrey: S. 758, Mr. Beall; and S. 834, Mr. Muskie. S. 758, in particular, would have created a Federal program evaluation digest.)

Related to this was a House proposal, H. Con. Res. 21, introduced by Mr. Conte and referred to the Committee on Rules, which would establish a "Joint Select Committee on Government Program Analysis and Evaluation." The Committee would be authorized to evaluate alternative procedures and to evaluate "the efficiency and effectiveness of Federal programs and activities by objective, scientific, and empirical analysis...." Among the alternative proposals the Committee would examine are:

> -"the establishment of an ad hoc, independent, bipartisan commission to study and appraise Federal programs and activities...of the executive branch...;"
>
> -"an expansion of the role and function of existing agencies and authorities (such as the General Accounting Office) within or outside of Congress to perform such analyses and evaluations;"
>
> -"improved staffing of standing committees...through the addition of review specialists and persons scientifically trained and experienced in the area of program audit and evaluations;" and
>
> -"the establishment of a central staff or office as an integral part of the Congress charged with performing program audits, evaluations, and analyses under the supervision of a legislative auditor and under the general supervisory control of a joint committee of the Congress..."65/

64/ Title VII - Program Review and Evaluation, Conference Report, H.R. 7130, Congressional Budget and Impoundment Control Act, passed Senate June 21, 1974. P.L. 93-344.

65/ Sec. 1 (b), H. Con. Res. 21, January 3, 1973.

F. Issues Surrounding the Role of the General Accounting Office in Providing the Congress with Improved Program Evaluation Capability

The General Accounting Office's role in providing the Congress with program evaluations independent of the executive branch has received considerable attention with the last two years. Several issues are involved: (1) Are the agency's auditing, accounting, and program evaluation related activities sufficient to satisfy legislative requirements for program evaluation and evaluation of the utility of different program intervention strategies in meeting legislative goals? (2) Does the agency have sufficient authority, staffing and appropriate administrative arrangements to conduct program evaluations? (3) How can the GAO and the Congress work more closely in developing program objectives and legislative language which meets requirements for the conduct of program evaluation?

1. Basis of GAO's Statutory Authority for Program Evaluation. Comptroller General Elmer B. Staats, noted the basis of the agency's statutory authority for the conduct of program evaluation in a recent article: "While the GAO has always construed the Budget and Accounting Act and the Legislative Reorganization Act of 1946 to include this authority, the Legislative Reorganization Act of 1970 made it quite explicit. This act, in brief, directed that GAO, either on its own initiative or at the request of committees of the Congress, make studies of the costs and benefits of existing programs."66/ He continued that the agency has actively carried out its responsibilities under these acts:

> For the past 5 years, GAO has given high priority to the evaluation of Federal programs to the point where approximately 30 percent of its professional staff of 3,250 is now engaged in evaluations and studies with this objective.67/

2. Evolution of GAO's Program Evaluation Activities. Issues have been raised regarding the nature of GAO's evaluation activities. For instance, Senator Roth,

66/ Staats, Elmer B. Improving Congressional Control Over the Federal Budget. The GAO Review, Summer 1973: 11.

67/ Improving Congressional Control Over the Federal Budget, op. cit.: p.11.

commenting upon responses received in his staff survey of program evaluation practices noted:

> A rather small portion of the executive departments, and an even smaller portion of the independent agencies indicated in response to our inquiry that GAO was actively or regularly involved in evaluating the substantive accomplishments of their programs. They also stated that the Comptroller General's interest in their programs was quite often of a fiscal-procedural nature.68/

Continuing, he recommended that the GAO's program evaluation responsibilities and those of the other congressional information support agencies, including the Library of Congress and congressional committee staffs, should be expanded to include more program evaluation impact analysis:

> It is clear that GAO has plenty of work to do and does much of it effectively. However, Congress needs to have more independent evaluation of the impact of Federal governmental activity---by GAO, the Library of Congress, its own committees, or perhaps by some other body. The Legislative Reorganization Act of 1970 clearly assigns to the Comptroller General and the Library of Congress additional responsibility to perform substantive evaluations.69/

In answering questions posed by critics of GAO's program evaluation efforts, the Comptroller General admits that "GAO still has much to learn," but that "overall good progress is being made." "Evaluation of government program results," he continues, "is an art about which all of us have much to learn." The agency faces two major difficulties in conducting evaluations, "particularly in the social action areas:"

> Not the least of these are (1) the lack of clearly, specifically stated program goals and objectives and (2) the lack of reliable data on performance and effects or results of program operations.70/

In another article Assistant Comptroller General Ellsworth H. R. Morse reported that the agency is attempting to improve training and administrative procedures to assist GAO in meeting its program performance and evaluation responsibilities:

68/ Public Program Analysis and Evaluation for the Purposes of the Executive and the Congress, op. cit.: S9026.

69/ Idem.

70/ Improving Congressional Control Over the Federal Budget, op. cit.: 11-12.

1. It is learning much by doing....

2. It is building an interdisciplinary staff. From a professional staff largely of persons with backgrounds in accounting and conventional auditing, GAO is shifting to a staff made up of many disciplines--including engineers, economists, mathematicians, statisticians, actuaries, systems analysts, persons with academic or experience backgrounds in business or public administration, and a sprinkling of experts in other fields. Over 20 percent of the professional staff is composed of persons trained in disciplines other than accounting and this proportion is growing.

3. It makes extensive use of consultants in various fields to provide expert advice and assistance.

4. It contracts work out on occasion.

5. It conducts extensive training programs and holds special seminars on program evaluation in different fields. ...Seminars have been held on health, welfare, education, and law enforcement assistance.

6. It takes advantage of on-going or completed analytical and evaluation work of other Federal agencies and outside organizations, such as the Urban Institute and the Brookings Institution. It is developing a guide to program evaluation studies....

7. It has assembled an advisory panel of about 20 systems and program analysis specialists who are expert in numerous fields of government operations and evaluation.71/

3. Illustrations Provided by the GAO of Its Program Evaluation Activities.

Assistant Comptroller General Morse has identified examples of different types of program evaluations the agency has performed.72/ One of these is inserted below to illustrate the agency's conception of its activities in this area:

Improvement of definition of a programs goals and objectives:

Title I of the Elementary and Secondary Education Act of 1965 authorized Federal financial assistance to local educational agencies for programs to help meet special educational needs of deprived children in areas with high concentrations of children from low-income families. The Federal Office of Education required local agencies to establish measurable objectives and related procedures to evaluate the success of their projects. GAO's audit of this program in Illinois showed weak performance on this score. Objectives stated were

71/ Morse, Ellsworth H. Jr. The Auditor Takes a Program Evaluation. The Federal Accountant, v. XXII, no. 2, June 1973: 6-7. Emphasis in original.

72/ Most GAO reports are public information. In addition short abstracts are published in annual GAO reports.

generally vague (e.g., build a varied vocabulary) and were not stated in measurable terms by types and degree of changes sought (e.g. rate of increase in vocabulary).73/

4. Other GAO Program Evaluation Activities. GAO has also published two reports which deal more directly with improving the process of conducting program evaluations. These, described in detail in other sections of this report, consist of (1) a list of legislative requirements for program evaluation, including steps the Congress needs to take to state program objectives in a form compatible with evaluation capabilities and (2) an inventory of agency information systems which include program evaluation reports to support better dissemination of program evaluation reports to other researchers and to other agency administrators. The agency is now preparing a guidebook of recommended standards for program evaluation. It will be published in 1975.

5. Activities and Legislation in Support of Giving GAO More Responsibility for Program Evaluation. The General Accounting Office's program evaluation activities seem to have increased considerably since passage of the Legislative Reorganization Act and the Budget and Impoundment Control Act. Several factors might be considered in assessing these expanded responsibilities and functions. Probably the most important are:

-psychological, organizational, and methodological factors which surround the evident transition in the agency from considering evaluations as primarily easy-to-measure auditing activities to conceiving of evaluations as harder-to-measure achievement, impact and performance activities;

-steps the agency is taking to enlarge its staff to perform program evaluations and to enlarge its staff to include more social scientists to provide the interdisciplinary mix required for program evaluation; and

73/ Morse, op. cit., p. 8.

-the time lag between establishment of new legislative authority and the establishment of effective operational procedures to meet new requirements.

As noted above, under the terms of the Congressional Budget and Impoundment Act, passed June 21, 1974, GAO was given additional authority to conduct program evaluation and to engage in other activities in support of expanding legislative branch program evaluation capabilities. The agency is authorized to establish an Office of Program Review and Evaluation. Among its functions are the following:

-to review and evaluate Government programs and activities, at the initiative of the Comptroller General or at the request of either House or Committees;

-to assist committees in developing statements of legislative objectives and goals and methods for assessing and reporting actual program performance in relation to such legislative objectives and goals; and

-to recommend methods of assessment, information which should be reported, responsibility for reporting, frequency of reports, and feasibility of pilot testing; and

-to review the program evaluation reports and activities of Federal agencies.74/

74/ Congressional Budget and Impoundment Control Act, Title VII, op. cit.

PART IV. THE PROCUREMENT AND CONDUCT OF PROGRAM EVALUATION RESEARCH

In the most general sense, program evaluation is a form of applied social science research which uses the interdisciplinary resources and techniques of economics, psychology, sociology, and political science. Some program evaluation research is performed in-house by social scientists on an agency's staff. These evaluations generally are of two types: (1) auditing activities to assess the allocation and use of program funds; and (2) critical syntheses of the findings of the evaluation studies performed for the agency to generate recommendations for improving the administration and operation of a program or to determine whether to modify or terminate the programs.

Evaluations of program performance or of the effectiveness and impacts of a particular program intervention strategy are performed generally on an extramural basis by social scientists or interdisciplinary program evaluation research teams funded by the agency. The Office of Management and Budget has defined four general types of evaluation research, delineated on the basis of their purpose and predominant methodology. These generally correspond to the categories used by Wholey, et. al. in their landmark study on this topic.75/ The types are substantive impact evaluations; relative effectiveness evaluations; process or management evaluations; and project evaluations. The OMB definitions of these types of evaluation are given below:

> Substantive impact evaluations attempt to measure the impact which federal programs have upon their stated objectives. This type of evaluation seeks to determine what the program accomplishes, how these accomplishments compare to their intended purposes, and their costs. The purpose of such evaluations is primarily to provide information for use in major policy formulation.
>
> Relative effectiveness evaluations seek to compare the effectiveness of two or more major program strategies or approaches in attaining ultimate objectives within a national program. These studies are designed to help policy

75/ Wholey, Joseph S., et al. Federal Evaluation Policy: Analyzing the Effects of Public Programs. Washington, D.C., The Urban Institute [1970] chap. 2.

officials and program managers select the most effective mix of services to maximize programs' total impact, such as the mix of skill training, remedial education, and job search assistance in a manpower program. However, these studies do not necessarily measure the impact of the total program in absolute terms on its objectives.

Process or management evaluations are designed to measure the operating efficiency of national programs. They are intended principally to help program managers achieve the most efficient deployment of available resources, rather than help policy officials arrive at major decisions affecting the scope and focus of the national programs.

Project evaluations are directed to individual, locally based projects which are components of a national program, regarding the impact or efficiency of the total national program. Project evaluations may entail any of the three preceding types (substantive impact, relative effectiveness, or process evaluation) as well as project rating comparing the effectiveness of one or more individual projects against others. 76/

Four types of research performer are used to perform extramural evaluation research activities. The first two are: (1) social scientists supported by grant or contract to a non-profit making institution; and (2) social scientists at federally funded research and development centers, which are R and D performing organizations usually created and exclusively or substantially funded by one or more Federal agencies to provide the agency with a centralized R and D capacity needed to develop and evaluate its programs. Typical of these are the Urban Institute and the Institute for Poverty Research at the University of Wisconsin, whose major functions were to supply expert information and advice on urban and poverty programs, respectively. A third type of performer consists of university-based social scientists. The fourth type of performer is social scientists or interdisciplinary teams (including operations researchers and systems analysts, etc.) employed by profit-making research or consulting firms working under contracts or grants awarded on a competitive or non-competitive basis by an agency.

A. Issues Relating to the Funding of Program Evaluation Research

1. The Lack of Appropriate Information. The executive branch does not maintain

76/ Lewis and Zarb, op. cit.: 309.

an inventory describing precisely how much money has been obligated for program evaluation research. Frequently there are discrepancies in the data systems used. For instance, Laurence E. Lynn, Jr., former Assistant Secretary for Planning and Evaluation, Department of Health, Education and Welfare, noted in 1972 that "The Department has approximately 125 full-time professional evaluators and 40 to 50 million dollars available for evaluation functions."77/ According to a report cited by Albert D. Biderman and Laure M. Sharp, the costs for total HEW evaluation research amounted to $29.6 million in 1971.78/

Annual Budget Appendix volumes sometimes report an entry for program evaluation. However, this item is not reported for all social programs listed in the Catalog of Federal Domestic Assistance. For instance, the Fiscal Year 1974 budget appendix illustrates these discrepancies for three agencies which have large program evaluation research obligations: (1) Health Services and Mental Health Administration, lists an item for research, but not program evaluation; (p. 379); (2) Law Enforcement Assistance Administration lists have no entries for either research or program evaluation (p. 627); (3) Manpower Administration, Department of Labor, lists an item entitled Planning, evaluation, and research, (p. 631).

Biderman and Sharp attribute the dearth of information on the funding of program evaluation research to the fact that existing scientific research reporting categories, including those used by NSF, do not include the classification "program evaluation research"; and there are no well-established mechanisms within agencies to obtain data on the funding of such research:

> All available statistical data on the organization, financing, personnel and functions of research utilize categories that have no close correspondence

77/ Lynn, Laurence E. Notes from HEW. Evaluation, Fall, 1972: 26.

78/ Citing: James G. Abert. Cost and Cost-Effectiveness. Paper delivered at International Federation of Operational Research Societies International Cost-Effectiveness Conference, Washington, D.C., April 12-15, 1971. (Unpublished.) From: Biderman, Albert D. and Laure M. Sharp. The Competitive Evaluation Research Industry. Washington, D.C., Bureau of Social Science Research, Inc. [1972] p.21.

with the world of SPER.* The primary sources of data on American research activities are oriented to the academic science system or to medical and technological research and development. SPER falls neatly into none of these. That most used source for charting trends in American research activity, the National Science Foundation's series. Federal Funds for Science, is of scant use for charting trends in SPER. Even if cross-tabulations of data of this series were available by field of science, funding agency, and research performer, which they are not, we would have no way of knowing which table cells would include SPER.

While, by definition, all SPER is social research, not all of it is reported as social science research and, since it is often supported from operational program funds, an unknown proportion of the total is not reported as science or research at all. Further, allocations to evaluation work are frequently made by the executors of federally-financed action programs or projects--state, local or private agencies which may be layers removed from the point at which bookkeeping entries are made that are reflected in NSF's Federal Funds for Science.

Although there is considerable literature arising from interests in government contracting, including studies of R & D procurements (Report to the President. . . ., 1962), studies have not focused on what until recently has been that relatively tiny part of all procurement which involves social scientific or related work. Other than those dealing with contracting for developments of defense weapon systems, the major studies have dealt primarily with the National Aeronautics and Space Administration and the Atomic Energy Commission (Senate Committee on Labor and Public Welfare, 1965; Orlans, 1967). When government financing of social scientific work has been the object of attention of studies (and data series), the preoccupations have been almost exclusively with the forms of financing which matter most for institutions of higher education and, secondarily, for the academically-oriented institutes. The types of organizations which perform most of the work of SPER have received relatively little consideration.

In the recent large survey to examine the state and future of the Social and Behavioral Sciences (Behavioral and Social Sciences Study Committee of the National Academy of Sciences and the Social Science Research Council, 1969), for example, a comprehensive questionnaire survey was carried out of the research finances of academic departments, professional schools and university institutes and laboratories, but only a small pilot study in one city--scarcely analysed or reported--was performed of social scientists in all other institutions.[8]

The Survey Committee contracted with the Bureau of Social Science Research in Washington, D.C. for a questionnaire survey of university activities in the behavioral and social sciences which were reported in three chapters of this report (pp. 155-210). A small pilot survey was also undertaken by the committee in the Boston, Massachusetts area to study the employment of behavioral and social scientists in two disciplines (economics and psychology) outside the university and government; this was reported in two pages of the report (pp.216-218).] Such studies as have been done of social scientists in non-academic employment (Radon, 1970; Marcson, 1966) have involved small samples including many persons working in non-research roles, so that it would be impossible to segregate out for analysis those active in particular research pursuits, such as SPER.[79]

* Social Program Evaluation Research

79/ The Report on Survey of Federal Program Evaluation Practices, conducted by the staff of Senator William V. Roth, Jr., May 1972, illustrates the difficulties in trying to obtain comparable figures from Federal agencies even when a well-formulated questionnaire is used. Quotation from Biderman and Sharp,op.cit. p.16-18.

B. Difficulties of Obtaining Information on Types of Performers of Program Evaluation Research

One of the most important implications of the absence of information is that it is impossible to provide precise data on the characteristics of performer, that is in-house, or extramural (either profit-making or non-profit-making research organization). A number of attempts have been made; they have involved in-depth surveys or collation of scattered in-house report forms.

Most of these studies indicate that the bulk of the largest awards for evaluation are given on a contract, rather than a grant basis, to profit-making or non-profit-making research organizations rather than to university based social scientists.80/ This finding should be weighed against studies which indicate that evaluation studies are performed best by social scientists at universities funded on grant, rather than a contract basis.81/

For example, Abert reports that about 45 percent of the funds HEW awarded in 1971 for program evaluation went to profit-making research organizations. The recipients of other funds are broken down as follows: not-for profit firms, 29 percent; universities, 21 percent, state and Federal government, 4 percent; and individual consultants, 1 percent.82/

In the Spring of 1974, the General Accounting Office conducted a telephone survey of federally funded program evaluation on behalf of the Joint Committee on Congressional Operations. The results follow:

80/ Biderman and Sharp, op. cit.

81/ This issue was discussed for example at the "Dartmouth/OECD Seminar on Social Research and Public Policies," Dartmouth, September 13-15, 1974, especially in a presentation by Howard Freeman, based upon research he, Illene Bernstein and Patricia Riecker are doing for the Russell Sage Foundation. Draft report available from: Illene Bernstein, Department of Sociology, University of Indiana, and Dr. Freeman, director, Institute for the Social Sciences, UCLA. For a short summary of the report, see: Evaluation Revisited, Behavior Today, May 27, 1974: p.148.

82/ Abert in Biderman and Sharp, op.cit., p.23.

The response to our survey, which are summarized in the following table were for the most part carefully researched and prepared by the agencies listed. A few of the agencies responded in writing-DOT, Agriculture, OEO, VA, and the Special Action Office for Drug Abuse Prevention. Problems with the definitions of program evaluation were fewer than we expected. We believe the total estimate of $130 million budgeted for program evaluations in Fiscal Year 1974 is fairly accurate for those agencies listed, given the limitations of a telephone survey.

PRELIMINARY ESTIMATES OF FUNDS BUDGETED FOR PROGRAM EVALUATION, RESPONDING AGENCIES, FISCAL YEAR 1974

(In thousands of dollars)

Agency	Amounts budgeted for evaluation breakdown of total by-		
	Contract	In-house	Total
Department of Health, Education and Welfare	50,000	10,000	60,000
Department of Transportation	7,095	18,875	25,970
Environmental Protection Agency	5,756	6,667	12,423
Department of the Interior	3,800	7,584	11,384
Department of Labor	8,900	567	9,467
Department of Commerce	1,031	4,520	5,551
Law Enforcement Assistance Administration	4,337	165	4,502
Veterans' Administration	38	3,154	3,192
Department of State (except AID)	13	3,091	3,104
Department of Agriculture	2,000	1,075	3,075
Office of Economic Opportunity	1,550	1,023	2,573
Department of Housing and Urban Development	1,300	327	1,627
Agency for International Development	528	1,098	1,626
Special Action Office of Drug Abuse Prevention	869	653	1,522
Total	87,217	58,799	146,016
Percent of total	59.7	40.3	

Agencies unable to give a complete response in the time allotted for this preliminary telephone survey: Department of Defense, Department of Justice (Except LEAA), Department of Treasury, National Aeronautics and Space Administration.83/

The agency did not give a breakdown by types of contract performer (that is profit or non-profit making). It seems evident that a continuing data system be established to collect information on federally-funded program evaluation and that it also categorize the type of performer.

83/ In U.S. Congress. Joint Committee on Congressional Operations. Congressional Research Support and Information Services: A Compendium of Materials. Washington, U.S. Govt. Print. Off. [May 1974] p.290.

C. Specific Issues Relating to Federally Funded Research and Development Centers as Performers of Program Evaluation Research

The Congress has not given in-depth examination to the conduct of social program evaluation research by federally funded research and development centers (FFRDC). It is difficult to generalize about these activities, except to say that some agencies have used them more than others; and that the use of such centers in the social policy area is probably declining.84/ Some information on the pros and cons of the use of FFRDCs was provided in a 1971 report by the National Academy of Sciences. A special advisory committee reported to the Academy on the operations and implications of one such center, the Institute of Poverty Research, University of Wisconsin, sponsored by the Office of Economic Opportunity. The findings of this study are specific to this particular center but could characterize the activities of other centers.

According to the Committee, policymakers should consider a number of issues which surround the conduct of program evaluation research of this nature:

- the "danger of overselling the fruits of even well-conducted evaluations and and field experiments;"

- the "strong partisan political currents" that interact with the conduct and use of reports prepared by such centers;

- the need for replication of experiments initially conducted by the center;

- a "division of responsibility for the conduct of an evaluation or experiment between two or more teams so that the knowledge of each would serve as a check against the oversight or misjudgments of the others";

84/ The Office of Education made extensive use of such centers; they were phased out at the end of the fiscal year 1972. During the period 1971-1973 HEW, exclusive of the Office of Education utilized 17 such centers; during the period 1972-1974, the agency funded only 13 centers. (U.S. National Science Foundation, Federal Funds for Research, Development, and Other Scientific Activities, Washington. U.S. Govt. Print. Off., 1972, p. 46. (NSF 72-317); and U.S. National Science Foundation. Federal funds for Research, Development, and Other Scientific Activities. Washington, U.S. Govt. Print. Off., 1974. pp. 51-52. (NSF 74-300).

- the need for "open access to the data for subsequent recalculation, criticism and evaluation by independent groups as required;"

- the need to time appropriately General Accounting Office and executive agency investigations of a center's activities or research progress and preferably delay such reviews until an evaluation is complete, since "the threat of [untimely] investigations of this sort...might discourage investigators of high caliber from involving themselves in such policy-related work;"

- the need for policy makers at all levels of government to lower expectations about the utility of policy-oriented program evaluation research since "social science research is able to provide only very limited illumination;"85/ and

- the need to consider a number of trade-offs between the advantages and disadvantages of research conducted by policy institutes and to provide the institutes with "long-term, relatively unconstrained funding" since such institutes cannot do "first-rate independent research [with] hand-to-mouth financing."86/

The Commission on Government Procurement, created pursuant to P.L. 91-129, to study and recommend to the Congress methods "to promote the economy, efficiency, and effectiveness" of procurement by the executive branch, looked at the procurement of applied social science research and program evaluation services. The report, presented to the Congress in December 1972, recommended that FFRDCs be organized and used to satisfy needs that cannot be satisfied effectively by other organizational re-

85/ "While social science can help in the design and improvement of programs, good policy-making requires art, judgment, and weighing of conflicting values. It can never be reduced to [social] engineering in the familiar sense of the term." (Policy and Program Research In a University Setting: A Case Study. Report of the Advisory Committee for Assessment of University Based Institutes for Research on Poverty, Division of Behavioral Sciences, National Research Council. [Washington, D.C., National Academy of Sciences, 1971] p. 54.)

86/ Ibid., pp. 47-55.

sources. Any proposal for a new FFRDC should be reviewed and approved by the agency head and special attention should be given to the method of termination, including ownership of assets, when the need for the FFRDC no longer exists. Existing FFRDCs should be evaluated by the agency head periodically (perhaps every three years) for continued needs.87/

D. Issues Relating to Funding Mechanisms (Grants and Contracts) in Program Evaluation Research

1. Issues Relating to Profit- Versus Non-Profit-Making Performers. Albert D. Biderman and Laure M. Sharp, Bureau of Social Science Research, are conducting an in-depth study on the performance of program evaluation research by both profit- and not-for-profit research institutions. Their interim report, dealing primarily with profit-making research organizations was printed in 1972. Preliminary findings raise a number of issues resulting from the conduct of social program evaluation research performed by profit-making organizations. Generally they observe that competitive bidding for program evaluation research through the request for proposal (RFP) system is wasteful of resources and deleterious to sound research since a large number of organizations go through the expensive process of writing unsuccessful proposals. They gave an example, for instance, of a $4 million procurement for which research organizations spent $1.3 million in writing proposals.88/

They also cited the need to assess the disadvantages of the ways in which the RFP system tends to overly prespecify tasks or research methodology that a contractor should follow.89/ On this same point the National Advisory Council on Education

87/ Summary of the Report of the Commission on Government Procurement. (Not the Official Report.) Washington, U.S. Govt. Print. Off., December 1972. p. 46. For a detailed description of the Commission's findings on performers of research and development, see Chapter 3, pp. 13-23 in Report of the Commission on Government Procurement, Vol. 2 (Washington, U.S. Govt. Print. Off., 1973).

88/ Biderman and Sharp, op. cit., pp. 38-39.

89/ Ibid., passim.

Professions Development reports:

> Within limited evaluation funding on the whole, funds for contract research are so overbudgeted and in-house staff positions and funds are so underbudgeted, that good, practical conceptalization and monitoring of evaluation research is thwarted. In some cases even requests-for-proposals must be developed by outside contractors before proposals for research can be called for. ...Requests-for-proposals have often attempted to specify the evaluation research design rather than the questions of or issues to be addressed, or the final character of the research evidence.90/

Other issues raised by Biderman and Sharp and the Advisory Council are: the lack of time agencies give to writing RFP's since many put out calls for contract program evaluation research only a few weeks before the fiscal year ends;91/ monopolization of contracting by a few profit-making organizations; overutilization of systems engineers and systems analysts to perform program evaluation, often using imprecise social science tools and techniques; administrative deficiences in profit-making organizations; the economic efficiency and quality of the product obtained from the use of sole source contracts vs. the competitive bid proposal; and cost overruns in social R and D activities performed by not-for-profit organizations.92/

E. Legislative Requirements to Mandate a Certain Percentage of Funding for Program Evaluation

Another funding issue, which seems to warrant resolution, is that of legislatively mandating how much an agency should spend on program evaluation. There are two prevailing points of view on this issue. One is to continue the practice of having the Congress authorize a fixed percentage of appropriations of a program for evaluation purposes. A number of suggestions have been made about what percentage of funds should be allocated for this purpose. In an interview given shortly before

90/ National Advisory Council on Education Professions Development. Search for Success: Toward Policy on Educational Evaluation. A report of the..., June 1974. Washington, D.C., National Advisory Council on Education Professions Development, op. cit. p. 20.

91/ Ibid., p. 20.

92/ Biderman and Sharp, op. cit., passim.

he left office as Secretary of Health, Education and Welfare, Elliot Richardson suggested that an allocation of .5 percent of appropriations for a program would be adequate.93/ In their study of Federal Evaluation Policy, Wholey et. al., suggested that the fixed percentage should vary depending on the substance of the program:

> Funding levels. A reasonable evaluation budget..., this study suggests is likely to range from 0.5 percent to 2 percent of the total program budget. [For programs which do not already include a fixed percentage for evaluation] it would appear reasonable ... to allocate up to 2 percent of manpower program funds, up to 0.5 percent of vocational educational funds, and up to 0.5 percent of Title I elementary and secondary education funds to program evaluation.94/

In his interim report to congressional committee chairman, on "Legislative References to Evaluation, 1967-1972," August 11, 1972, the Comptroller General expressed another point of view -- that legislation should not specify what percent of the appropriations should be devoted to evaluation. His statement follows:

> ...[We] question whether a legislative requirement that a fixed percentage of program funds or a fixed dollar amount to be spent for program evaluation is wise, particularly where the agency may not be in a position to spend the money effectively. Rigid personnel regulation imposed by the executive branch can be a contributing factor; scarcity of trained personnel has undoubtedly been another factor. [In our studies of evaluation for the Congress]...we will give special attention to this [issue] in those cases where Congress has enacted explicit requirements for program evaluation.95/

F. Alternative Institutions for the Conduct of Program Evaluation Research Under Federal Agency Auspices

Although there are no precise figures on the composition of performers of social program evaluation research for the Government, it seems reasonable to estimate that about half of this research is performed by profit-making research groups or consulting firms, approximately 30 percent by non-profit institutions and 20 percent by

93/ Conversational Contact...with Elliot L. Richardson. Evaluation, v. I, no. 1, 1972: 15.

94/ Federal Evaluation Policy, op. cit., p. 82.

95/ Letter prefacing GAO Report B-161740, August 11, 1972.

universities.96/ As noted throughout this report, many criticisms have been raised about the uneven quality of evaluation research. These deal especially with methodological weaknesses, the tenuous conceptual link between program evaluation research design and findings on the one hand, and understanding of the basic dimensions of human behavior on the other, and insensitivity to the policy and political constraints which impact upon the initiation and implementation of program evaluation reports. These criticisms are levied at both university and non-university performers and also at in-house and extramural performers.97/ Program evaluations by non-university researchers are generally timely, but weak in theory, conceptual framework and methodological underpinning. Those performed by university researchers are criticized for being overdue and insensitive to policy implications. There seems to be a consensus in much of the recent literature that the conduct and utility of program evaluation research would be improved if the Government adopted a formal policy to institutionalize a sustained program evaluation capability in research organizations which have

96/ Extrapolated from a classification of performers of HEW evaluation research, 1971 (The Competitive Evaluation Research Industry, op. cit.: 23.) For further details on funding and performers see the draft reports of Freeman, and Freeman, Bernstein and Rieker, op. cit.: passim.

97/ Evaluation magazine contains several articles on this topic:

> "On the question of 'contract' evaluations, Garth Buchanan, Pamela Horst, and John Scanlon vote no--that the costs of unsatisfactory evaluations produced by contract are far more, really, than the high dollar cost of in-house evaluation efforts. In Evaluation's interview with him, Bertram Brown votes yes, because the use of outside evaluators has modified the impact of administrators who want 'positive' funding attached to evaluations. Howard Davis, Carol Weiss, and Lawrence Lynn, Jr. are among others who suggest that administrators' desire for positive findings has been known to lead to positive findings, but Weiss is also quick to point out that, whatever the pluses or minuses, the instability of most evaluation efforts and the turnover of evaluation staffs is bound to lead to the use of consultants in one capacity or another."
> (See Evaluation, v. no. 2, 1973, passim.)

a strong social science base.98/

Recommendations for improving the institutionalization of program evaluation research take two forms. One is that the Government should support the creation of research units designed explicitly to provide short and long-range program evaluation research for a particular agency or class of problems. The second is a call for giving more sustained funding to university researchers to enable them to develop a better capability to do basic, but policy-oriented, social science research.

Proposals for creating research units to provide evaluation research for a particular agency or class of problems call for institutions of varying configuration. However they could generally be characterized as large-scale non-profit applied social science organizations, either independent of an agency or attached to a Federal agency like the recently created National Institute of Education, or funded by an agency to provide it with information and analysis, like the Urban Institute, created first to serve the Department of Housing and Urban Development. This section summarizes several of the published arguments for the creation of such units.

Hendrik D. Gideonse, director of program planning and evaluation of the National Center for Educational Research and Development of the U.S. Office of Education, proposed, in 1970, that programs for social services would be improved by the development of national research policies and national research organizations to provide information, analysis, and program evaluation research for these programs. Many of the propositions he set forth for a national research strategy in education contain elements which can be generalized to other areas. His points are summarized below:

-The funds a nation spends for educational research and development should be considered a part of the nation's general expenditures for scientific research

98/ For example, see the report of the National Advisory Council on Educational Professions, Search for Success, which recommended steps to improve educational evaluation research. Also described in Evaluation Reforms Urged. Behavior Today, v.I, no.2, August 5, 1974:1.

and development. Thus, educational research funds should be subject to the same review procedures used for other types of scientific R & D. Funds for education should compete with funds allocated for other areas of R & D; and priorities for educational R & D should, therefore, be established on a nationwide basis.

-Educational R & D should be interdisciplinary (incorporating research into educational technology, social change, quality of instruction, goals of learning, etc.); thus, such research should be conducted by interdisciplinary teams in large-scale research organizations.99/

-Two factors now discriminate against the conduct of effective educational research by university based social scientists: the reward structure of academic departments and self-generated professional values.

-Goals and priorities for education should incorporate many diverse values and points of view, not only those held by social scientists or educators; therefore national research strategies should incorporate consideration of these other factors.

Gideonse stressed that development of the then proposed National Institute of Education would meet these criteria since it would coordinate the educational research activities of several agencies. However, he cautioned that the agency would have to take steps to meet another criterion of effective educational research units. It would have to "build the political decision structures which...constitute the necessary enabling condition for success."100/

99/ For background information on the complexities of conducting interdisciplinary social science research, see: U.S. Congress. House. Committee on Science and Astronautics. Subcommittee on Science, Research and Development. Interdisciplinary Research--An Exploration of Public Policy Issues. A study prepared by the Science Policy Research Division, Congressional Research Service, Library of Congress, October 30, 1970. Washington, D.C., U.S. Govt. Print. Off. 1970. 106 pp. [Committee Print.]

100/ Gideonse, Hendrik D. Policy Framework for Educational Research. Science. December 4, 1970: 1058.

Peter H. Rossi outlined a variant of this position when looking at the need to create non-profit interdisciplinary research units at universities or research units under a university consortia mechanism. He noted that program evaluation research required input from a number of disciplines and used a number of techniques. Such research is expensive and requires economies of scale. Only large research units, "with a director of research, his own staff,...a more or less integrated program of research," and drawing upon a number of disciplines would be able to provide research needed for the future. 101/ These organizations would utilize the talents of academic researchers and thus would have to overcome a number of current obstacles to large-scale interdisciplinary social science research; and social scientists would have to be given a modicum of autonomy similar to that permitted in academic departments. Teams of social scientists, with appropriate research support personnel would have to be created; and social scientists would have to learn to work within the political and social constraints inherent in applied social research, constraints caused by problem definition, the conduct of research, and the procedures to publish and disseminate research findings. 102/

The most recent proposal along these lines comes from the Social Science Research Council's Committee on Experimentation as a Method for Planning and Evaluating Social Intervention. When assessing the capability of existing research organizations to do policy relevant social experiments, the committee concluded: "...these existing organizations possess little or no capability to design experiments and manage a

101/ Rossi, Peter H. Observations on the Organization of Social Research. In Evaluating Social Programs: Theory, Practice, and Politics. Edited by P.H. Rossi and Walter Williams. New York, Seminar Press, 1972. pp. 267-87.

102/ Ibid., p. 283.

flexible field organization."103/ The committee recommended an organizational locus for such studies: the provision by the Federal Government of relatively small institutional grants ranging in size from $250,000 to $500,000 per year, to between six and ten promising research institutions or a consortium of institutions to enhance existing capabilities.

Walter Williams, a social scientist with long experience conducting and administering program evaluation for the Government described the rationale for this position and his variation of the recommendation. Williams states that the Federal Government should allocate sustained institutional support for this purpose to social science research organizations independent of universities.104/ He reasons that university based social science research organizations are incapable of meeting the criteria for

> ...carrying out...sound large-scale social policy research and policy analysis [which] seems to require organizations with research credibility, staff continuity, a reasonable degree of control over the allocation of staff resources, a strong policy commitment, and a flexible incentive structure that rewards diverse skills in terms of pay and status.105/

University based social scientists, according to much of the recent literature,

103/ Quoted in Williams, Walter, The Role of Social Scientists Outside the Government in the Federal Social Policy Process, a background paper for an Address to be Delivered on August 25, 1974, at the Canadian Sociology and Anthropology Association Meetings in Toronto, Canada. Draft: p.26. The committee's full report is available as: Riecken, Henry W. and Robert F. Bourch, eds. Social Experimentation: A Method for Planning and Evaluating Social Intervention. (Written by a Committee of the Social Science Research Council.) New York, Academic Press [1974] 339 p.

104/ Williams, ibid., p. 36. See a larger exposition of this position in his "The Capability of Social Science Organizations for Performing Large-Scale Evaluative Research, in Peter H. Rossi and Walter Williams, eds. Evaluating Social Programs, Seminar Press, 1972. p.306.

105/ Williams, The Role of Social Scientists Outside the Government in the Federal Social Policy Process, op. cit., pp. 22-23, emphasis in the original. On this point see: Coleman, James. Methodological Principles Governing Policy Research in the Social Sciences, a paper presented to the American Association for the Advancement of Science, December 29, 1972.

do have a potentially substantial role to play in enhancing the capability of social program evaluation research and policy analysis for the Government. According to Williams, "the universities...probably should have the major role in the more fundamental policy-oriented research...[those]...more basic studies [which] offer the traditional incentives of the past..."106/ Carol Weiss, another social scientist with extensive program evaluation experience has elaborated on this position:

> There may be greater potential in doing research on the processes that give rise to social problems, the institutional structures that contribute to their origin and persistence, the social arrangements that overwhelm efforts to eradicate them, and the points at which they are vulnerable to social intervention. Pivotal contributions are needed in understanding the dynamics of such processes and in applying the knowledge, theory, and experience that exist to the formulation of policy.107/

106/ Ibid., p. 37.

107/ Weiss, Where Politics and Evaluation Research Meet, op. cit., pp. 44-45.

PART V. METHODOLOGICAL ISSUES IN THE CONDUCT OF PROGRAM EVALUATION

A number of issues raised in previous parts relate directly to the general topic of this section. These include, for example: composition of the inter-disciplinary team conducting the program evaluation; types of performer; legislative language especially in relation to program objectives, requirements for performing evaluations, legislative statements regarding funding, and the compatibility between these statements and program evaluation methodology; proposals to create program evaluation information dissemination systems; and administrative obstacles to the conduct and use of program evaluation.

Three additional issues will be treated here since they are receiving a good deal of attention in the literature on evaluation. They are the appropriateness of evaluation techniques, especially social experimentation, improved techniques of data collection and cross-fertilization between developments in social indicators research and date required for program evaluation.

Experimental and Non-experimental Research Design

Three basic types of research design are used in conducting social program evaluation: non-experimental, quasi-experimental, and experimental designs. Most federally-supported program evaluations probably use non-experimental research designs, which permit two types of evaluation methodology: before versus after program comparison, and comparisons of planned performance versus actual performance. Non-experimental evaluations are the easiest and cheapest to conduct. However, they usually are not planned in advance, making it difficult to collect appropriate data. One of the major deficiencies of such designs is that they fail to control for many of the observed changes which occur during the program's duration. Thus it is difficult to explain whether the program intervention strategy caused the changes, if any, observed in the participants, or whether the

changes were caused by some other extraneous factor or event which affected the program or its participants.

Quasi-experimental designs include evaluations which project pre-program data versus actual post-program data over a period of time or compare changes in program participants with jurisdictions or populations not served by the program. These designs have procedures to control for or isolate extraneous factors which might influence the outcome of the program intervention and utilize a more sophisticated data base and logical or conceptual underpinning than non-experimental designs. However, they are far less rigorous and explanatory than experimental designs.

Experimental designs, called controlled experimentation or social experimentation, are the most costly and difficult types of research used in program evaluation. They also yield the most reliable and valid results. However, they require mandatory planning before the program is implemented in order to build in procedures to collect appropriate data and to select randomly a control group and test population.

See the attached chart for a short description of evaluations using these three types of research designs.

Scope and Limits of Social Experimentation

As noted throughout this report, criticism of program evaluation and its use in decisionmaking is widespread. For example, Joseph Wholey, a staff member of the Urban Institute, and widely published in the field of evaluation research, has summarized some of these criticisms and their causes:

> Valid, reliable evaluation is very hard to perform and can cost a lot of money. Evaluators have real problems in detecting causal connections between inputs and outputs and in doing so in timely enough fashion to be useful to decisionmakers. The structure of a program can have an important influence on the technical feasibility of separating the effects of the program from the effects of other, often more powerful, forces not under control of the program.
>
> ...Our reviews have found typical Federal program evaluation studies marked by certain design characteristics which severely restrict their reliability

and usefulness:

(a) They have been one-shot, one-time efforts, when we need continuous evaluation of programs.

(b) They have been carried out in terms of national programs and are very weak on process data.

(c) They have been small sample studies working with gross averages, when we need studies large enough to allow analysis of the wide variations we know exist in costs and performance among projects within programs.

These studies have often been accompanied by conclusions and recommendations based on unsupportable or unmeasured assumptions and weak, and often confusing data. In these cases, the evaluation results should be ignored by policymakers. Other evaluation studies, while competently conceived, are so severely constrained by time, money, and an inadequate data base that the the results at best have only limited significance for policy changes or program improvement. 108/

Many critics of current program evaluation practices hold that this situation would be improved if social programs requiring evaluation were designed and implemented in a manner which permitted evaluation using controlled experiments or social experiments. For instance, the Joint Economic Committee conducted a series of investigations dealing with the administration and evaluation of public welfare programs. The difficulty of adhering to the rigorous criteria required in social experimentation was cited as a principal deficiency of these programs:

Improving The Evaluation Process

The robust expenditures for research and evaluation of training programs ($179.4 million from fiscal 1962 through 1972) are a disturbing contrast to the anemic set of conclusive and reliable findings. Although some of the data may be necessary management information, much of what is collected as a matter of course by program administrators cannot be used to estimate the impact of training and determine the effectiveness of the program.

Among the most glaring deficiencies are inappropriate control groups and short observation periods. An appropriate control group is essential if the impact of training is to be isolated and distinguished from the influence of other factors. Frequently, studies are undertaken without any control group. When a control group is included in the design, it is almost never established at the time that enrollees enter the training program. Evaluators are called in after training has occurred, and are confronted with the almost impossible task of constructing a control group with the pretraining characteristics and experience of the trainees.

Observation periods rarely last more than a year and usually less. This is too short to determine how long benefits last or whether they are stable,

108/ Wholey, Joseph S. What Can We Actually Get From Program Evaluation? Policy Sciences, v.3, September 1972: 367-9.

TYPES OF PROGRAM EVALUATION TECHNIQUES 109/

Non-experimental		Quasi-experimental		Experimental
Before vs. After Program Comparison	Comparisons of Planned vs. Actual Performance	Time Trend Projection of Pre-Program Data vs. Actual Post-Program Data	Comparison with Juriadictions or Population Segments Not Served by the Program	Controlled Experimentation
Compares program results from the same jurisdiction measured at two points in time: immediately before the program was implemented and at some appropriate time after implementation.	Compares actual post-program data to targets set in prior years--either before the program implementation or at any period since implementation.	Compares actual post-program data to estimated data projected from a number of time periods prior to the program.	Compares data from the jurisdiction where the program is operating with data from other jurisdictions where the program is not operating.	Compares pre-selected similar groups, some of whom are served and some of whom are not (or are served in different ways). The critical aspect is that the comparison groups are pre-assigned before program implementation so that the groups are as similar as possible except for the program treatment.

109/ Taken from: Hatry, Harry P., Richard E. Winnie, and Donald M. Fisk, et. al. Practical Program Evaluation for State and Local Government Officials. Washington, D.C., The Urban Institute [1973] pp.39-40.

increase, or decrease. Evaluators are forced to base their estimates of program effectiveness on uneasy assumptions about the duration of earnings gains. Tracking trainees and a control group over an extended period of time is an expensive proposition but it is probably no more expensive and certainly more useful than much of the data collection and evaluation which has been conducted in the past.

Because the structure of programs and the characteristics of their clientele change over time, a single evaluation, even one with an optimal design, conducted at one point in time does not provide reliable information about program effectiveness. A standardized, ongoing evaluation procedure should be established. 110/

Although there seems to be growing dissatisfaction with non-experimental program evaluation designs and considerable enthusiasm for using experimental designs as a program evaluation strategy, it is apparent that a number of expectations and concepts of evaluation must be modified before this approach can be used successfully. One problem, for instance, is that of political bureaucratic resistances to using evaluation of any sort -- because of potential negative consequences for an agency's or a committee's pet project. 111/

Researchers have given considerable attention to outlining ways to overcome some of the bottlenecks which hamper the utility of social experiments in the policymaking process. Some of their positions are summarized below.

Wholey, for instance, notes the need for decisionmakers to be aware of the requirements of experimentation: continuous evaluation, better data, and the need for larger sample populations; and the need for evaluators to be sensitive to the political and time constraints on using experimentation as an evaluation strategy. He states in part:

There are important tensions between the evaluator and the program

110/ U.S. Congress. Joint Economic Committee. Subcommittee on Economy in Government. Economic Analysis and the Efficiency of Government. Report. Washington, U.S. Govt. Print. Off. [February 9, 1970] pp.14-15.

111/ See for instance, Donald T. Campbell, "Assessing the Impact of Planned Social Change," Background Paper for the Dartmouth/OECD Seminar on "Social Research and Public Policies," September.13-15, 1974. passim.

official, tensions which arise out of the very notion of experimentation. The criteria for selection of sites, the carefully controlled design of the experiments, and the random assignment of participants (or communities) to treatments are basic to experimental design. The program administrator may not see the utility of such ideas, however. What is so wrong, he may wonder, about calling an existing exemplary program an "experiment"? Or why not choose the people most in need of housing to participate in a housing allowance experiment? The evaluator must woo and win the administrator to the need for preserving the experimental character of the experiment.

Time also presents an enormous problem for the evaluator of experimental programs. As soon as there is sufficient legislative support to fund a series of experiments, there may be enough support to enact such a program nationwide. The concern that legislation will be enacted before the experiments have had time to produce reliable results may lead to pressures for the release of early, less reliable findings. The New Jersey Income Maintenance experiments experienced this pressure. Some early tentative results from the study were released with reluctance and heavy qualifications. If experimentation is to become a major vehicle in policy research, then ways must be found to anticipate and deal with these types of pressures. 112/

Dr. Alice Rivlin, senior fellow, Brookings Institution and chairman of the National Academy of Science's Committee on Federal Program Evaluation, is one of the Nation's foremost authorities on using social experimentation to improve program evaluation and ultimately the delivery of effective social services. Her views are contained in a recent publication: Systematic Thinking for Social Action, Washington, D.C., The Brookings Institution, Washington, D.C., 1971, 150 pages. Rivlin discusses the comparative merits of several programs and evaluation activities of them, notably the New Jersey negative income tax experiment funded by OEO, the follow-through of Project Headstart, and performance contract teaching. Despite her advocacy of using social experimentation as a tool of program evaluation, she outlined major obstacles to its use. These include: changes in objectives of the program as it is administered; the need for objective evaluation of the benefits of a program; problems of the Hawthorne effect (that is, the effect of the researcher on the test population or the participants of the program);

112/ Wholey. What Can We Actually Get From Program Evaluation? Op. Cit: 367-369.

generalizability of findings from a selected to a general population; political and ethical objections to experimentation; and problems of conducting experiments and evaluation on programs whose impact might not be immediately noticeable. 113/

In a subsequent analysis, published in 1973, Rivlin cautioned that social experiments are a useful tool for decisionmaking, but that successful social experiments are rare. The success of a social experimentation strategy, according to Rivlin, varies with the type of program intervention strategy employed. Overly enthusiastic advocates of experimentation should be aware that this is not an appropriate evaluation strategy for all types of programs. In detail:

> It seems clear that experiments are feasible when the treatment is a simple one, such as a change in tax or a payment schedule and when the outcome of interest is measurable behavior of individuals, such as hours worked or dollars earned. The income maintenance, health insurance, and housing demand experiments are all of this type. They pose plenty of problems, but they certainly can be carried out.
>
> It is still an open question whether or not more complex experiments are feasible -- those in which the treatment is a multi-faceted change, such as the introduction of a whole new education curriculum, or where the outcome of interest is a change in a whole institution such as a school system or a housing market. These kinds of experiments are far more difficult and no one is sure yet that they can yield valid results. 114/

"If great care is not taken to make current experiments as useful and as sensible as possible," she concluded, "there may be a reaction against the whole technique and a potentially useful tool may be taken away." 115/

113/ For a review of other studies treating utilization of social experimentation methodology in social programs, see: Wegner, Robert E. C. Evaluating the Evaluators. Public Administration Review [January/February 1973] pp.80-87. The books treated in addition to Rivlin's are: Kershaw, J. A. Government Against Poverty. Chicago, 1970; Levine, R. A. The Poor Ye Need Not Have With You: Lessons from the War on Poverty. Cambridge, 1970; and Williams, Walter. Social Policy Research and Analysis. New York, 1971.

114/ Rivlin, Alice M. Social Experiments: The Promise and the Problems. Evaluation, v.I, no.2, 1973: 78. In this same respect Walter Williams has presented a strong case for using a policy research strategy, rather than an evaluation strategy, to serve some evaluation requirements. See his: The Direct Usefulness of Evaluative Research and Policy Analysis in Social Policy Making, an address delivered at a conference on "Evaluative Concerns in the Post-secondary Education of Students from Disadvantaged Backgrounds," Mercy College, Detroit, June 22, 1974.

115/ Idem.

Legislative Interest in the Ethics of Experimentation. It should be noted that legislative interest in the ethical issues impinging on evaluation and experimentation is indicated by the passage of the National Research Service Award Act, P.L. 93-348, 1974. In addition to other functions, the Act established a Commission for the Protection of Human Subjects of Biomedical and Behavioral Research to advise the Department of Health, Education, and Welfare, by identifying ethical principles and guidelines which should underlie the conduct of biomedical and behavioral research involving human subjects. The Commission also will work with the Department to develop administrative procedures to carry out the guidelines. The act also creates a permanent National Advisory Council for the Protection of Subjects of Biomedical and Behavioral Research, effective, July 1, 1976; and requires the Commission to undertake a special study of the ethical, social and legal implications of advances in biomedical and behavioral research and technology. 116/

The National Institute of Mental Health awarded $75,000 during the summer of 1974 to the Bureau of Social Science Research to develop guidelines for proposed regulations on social science research required under this law. 117/

The Need for Continuous, Appropriate Impact Data

One of the most frequently voiced complaints made by program evaluation researchers is the absence of continuous, appropriate data required for program evaluation. As noted in part two of this series, much of the reporting information required to comply with administrative requirements for Federal grant programs

116/ Legislative HIstory: House Report 93-224, May 23, 1973 to accompany H.R. 7724; Senate Report 93-381, August 3, 1973, to accompany H.R. 7724; Dates of consideration and passage: House: May 31, 1973, June 28, 1974; Senate: September 11, 1973, June 27, 1974.

117/ Behavior Today, September 18, 1974: 236.

consists of program output information stated in terms of dollars, numbers of people affected, and the like. While this information is appropriate to administrative categories and auditing, it is not useful for program evaluation since it does not portray harder-to-measure performance or impact characteristics. For instance, a program intervention strategy providing education to train unskilled workers and assist them to find employment typically requires collection of information on the number of persons who obtained jobs after the program or improved scores on achievement tests. These data, which may be collected in the course of normal administration of the program are not necessarily a good indication of the program's success and failure or of impacts on the persons involved. More intangible factors and information may have to be considered, such as psychological and sociological changes in program participants which may change outlooks and later pay off in job-hunting and employment opportunities available in the area.

Although generation of data appropriate to measuring a program's performance or impacts is to some extent the responsibility of the program evaluator, many administrators and evaluation researchers hold that procedures should be built into a program to provide for continuous collection of the kind of data required for evaluation. They also note that these data requirements should be considered by the Congress and incorporated into authorizing legislation before the program is implemented.

Researchers at the Urban Institute treated this issue in a report prepared for the Joint Economic Committee. Excerpts are reproduced below. Manpower training programs were the immediate issue:

> Manpower Training Information Congress Needs and Should Require
>
> The information about the cost-effectiveness of training programs presently available has been found wanting in consistency and usefulness. What steps can Congress take to assure improvement in the future? To answer this, it is first necessary to consider the several facets of manpower

training programs over which Congress may exercise its review powers. These include:

* The distribution of training services and benefits among target groups to insure that national distributional goals are met.
* The administration of the national programs to determine whether the the programs are improving over time
* The questions of costs versus benefits to determine whether the programs are worthwhile investments from various viewpoints.
* The use of manpower training programs as economic tools in dealing with unemployment and inflation.

The most valuable information for the purposes of the Congress may well be data that permit comparisons to be made from year to year to detect trends in identically calculated measures of the programs. To improve the accuracy and consistency of such data, the Congress should require that information be gathered in a format similar to that shown in a recent Joint Economic Committee publication. 118/ The format for distributional data shown there should be adequate and could be provided currently by the Department of Labor. It would modify the cost and benefit data to include for each program: 119/

* Average cost per enrollee.
* Number of enrollees.
* Number of completers (by categories in those programs that have multiple categories of completers).
* Number of employed completers.
* Average workweek of an employed completer.
* Increase in income of employed completer.

All benefit data should be accompanied by an explanation of the method of determination and a specification of the groups of participants (completer, employed completer, dropout, etc.) to which it is applicable.

...We recommend that unsupportable assumptions on the value of work performed, social costs, private costs, or projected benefits not be used in the benefit/cost calculations. However, we do recommend that attempts be made to measure these various elements.

Each year, the Congress should also request the Department of Labor to examine raw cost and effectiveness data accumulated at the appropriate administrative level for all projects within the programs and use these for determining the causes of variations. 120/ These data could then serve as the

118/ Economic Analysis and the Efficiency of Government. Op.cit., appendix 3: Illustrative Manpower Overview Data.

119/ For the NYC program, measures of its goals of keeping participants in school would also be needed.

120/ For programs like CEP and WIN, the appropriate administrative unit would be the individual CEP or WIN project. In the case of MDTA, data might be more properly accumulated at the State level. As decentralization proceeds, the relevant administrative unit might become the local prime sponsor of each comprehensive manpower program. This should improve the capability for review both in DOL and in the Congress.

basis for annual discussions between Congress and the executive branch on the improvement of performance within each program.

If the information provided is to be continuous and to grow in accuracy and consistency, several features must be mandated through legislation. All manpower legislation should include provision for:

* One standard, comprehensive system of required reporting from the local level.
* One-year follow-up on the wage rate, income, and job stability of participants.
* Systematic processing at several administrative levels to provide plans vs. performance information and relative effectiveness information on local projects.
* Reduction of this information to the formats desired by the Congress.

...To enable more knowledgeable use of manpower training programs as economic tools, there is great need for validated quantitative models that describe the impact of trainees from manpower programs on local labor markets. It is time to stop talking about what effects trainees might have on local markets and measure what these effects are in practice, at least on a small scale. Out of such testing could come more definitive advice for both the Department of Labor and the Congress about the economic effects of training programs. We recommend that Congress direct and earmark sources for data collection projects focusing on measurement and analysis of the effects of training programs on local labor markets under different conditions.[121]/

Legislative efforts to improve the collection and use of program evaluation related information are reflected in Title VIII of P.L. 93-344, the Congressional Budget and Impoundment Control Act. Under this Title, the Secretary of the Treasury and the Director of the Office of Management and Budget are to cooperate with the Comptroller General and the Congressional Budget Office in developing and using budget information systems which include "program-related information." Such budget information is to be furnished to congressional committees. The General Accounting Office is also authorized to develop, establish, and maintain an up-to-date inventory and director of sources and information systems containing fiscal, budgetary, and program-related data and information and a brief

121/ Nay, Joe N., Scanlon, John W. and Wholey, Joseph S. Benefits and Costs of Manpower Training Programs: A Synthesis of Previous Studies With Reservations and Recommendations. In U.S. Congress. Joint Economic Committee. Benefit-Cost Analyses of Federal Programs. A Compendium of Papers. January 2, 1973. Washington, U.S. Govt. Print. Off., 1973: pp.259-61.

description of their contents.

Cross-fertilization Between Advances in Social Indicators Research and Improvements of Data Required for Program Evaluation

A related issue is that of the relationship between social indicators and requirements for improved data for program evaluation. Criteria for the development of refined social data for program evaluation purposes closely parallel the objectives and expectations of social indicators research. A short review of the relationship is given below. In addition, major obstacles to the development of social indicators are noted. It should be further emphasized that many of the difficulties of developing social indicators also characterize the refinement of program evaluation data.

According to social indicators researchers, social indicators would overcome the inadequacies of currently collected social and economic data and would provide for the measurement or quantification of qualitative or "soft" social factors. 122/ Current social indicator research activities are designed to develop indicators which would reflect the following properties:

(1) They would give a more realistic representation, or a better proxy than do current data series, of the phenomena or causes and effects which they purport to represent. For instance it has been said that the expansion of food programs for the needy does not adequately indicate whether hunger and malnutrition are being eradicated. Alternative data would describe the effects of such programs on such factors as improvements in health among populations served by food distribution and funding

122/ For a review of current social indicators activities and an enumeration of policy issues relating to their development, see: G.J. Knezo. Social Indicators: A Review of Research and Policy Issues (Including Annotated Bibliography). Science Policy Research Division, Congressional Research Service, Library of Congress, Multilith 73-39 SP., February 9, 1973, 127 pp.

programs. 123/

(2) They would differ from currently collected social statistics because they would measure disaggregated and often subjective factors, such as the amount of happiness or health in different racial or ethnic groupings scattered throughout the country.

(3) They would be normative and indicate changes in the quality of life. The fact that attention is given to the collection of data about the purity or impurity of the air, city by city, or region by region, can be interpreted as an indication that the society collecting this information recognized purity of air as a social goal.

(4) They would be comparable, longitudinal, and additive. For instance the value of job satisfaction to a particular individual would be measured or weighed against the satisfaction or pleasure he derives from having ready access to recreational facilities. Time series data, or data collected over a number of years, would indicate whether one or another type of satisfaction is more important at some particular time such as in youth, middle age, or old age.

The objective of developing social indicators, with these properties, is to

123/ According to Dr. R. Mendelsohn, Director of Community Pediatrics, University of Illinois College of Medicine, there are several widely used, but misleading, indicators of whether hunger and malnutrition are being conquered. These include: expansion of plans for food stamp distribution programs; increased appropriations for school lunch programs, and increased funding of anti-poverty programs. As an alternative Dr. Mendelsohn contends that we should collect and measure the possible short and long-term effects of such programs. These new data series would include information on: decrease in infant mortality rates between families who are supported by these programs and those that are not; differences in height between poverty program children and those not on poverty programs; and prevalence of mental retardation between those on and off poverty programs. (Testimony of Dr. Mendelsohn, Select Committee on Nutrition and Human Needs. In Malnutrition and its Effects. Statement of the Honorable Charles Percy on the Floor of the Senate. Congressional Record. April 30, 1970: p.6414.)

provide program administrators, and policymakers with more accurate and valid social data to draw upon in evaluating the progress of social programs and to prepare annual balance sheets describing the social state of the Nation and alternative solutions to major social problems.

An indication of the importance of this issue to the executive branch is indicated by publication of the Office of Management and Budget's first social indicator report, Social Indicators, 1973. 124/

It should be pointed out, however, that there is a continuing debate within the social science communities about the immediate policy utility of social indicators research. Some social indicators researchers hold that, imperfect as they are, social indicators should be used in policy formation. 125/ Others suggest that social indicators are not now of immediate utility to policymaking, but that their utility would be enhanced if more research were conducted on subjective dimensions or people's perceptions about the quality of life. 126/ Some recommend that the utility of social indicators in policymaking will be hastened if greater efforts are made to integrate social indicators research

124/ U.S. Office of Management and Budget, Statistical Policy Division (with the Social and Economic Statistics Administration, U.S. Department of Commerce). Social Indicators, 1973: Selected Statistics on Social Conditions and Trends in the United States. Washington, U.S. Govt. Print. Office, 1974. 258 pp.

125/ For example: Taeuber, Richard C. Social Indicators 1973: Some Policy Considerations. Paper presented at the August 1974 meetings of the American Statistical Association, 12 pp.; and Mondale, Walter F. Social Accounting: Evaluation and the Future of Human Services. Evaluation, v.1, 1972: 30.

126/ For example, see the reviews in: Parke, Robert and Sheldon, Eleanor Bernert. Social Indicators One Year Later: An Overview. A paper prepared for presentation at the meetings of the Second Annual Social Indicators Conference, sponsored by the Public Policy and Issues Division, American Marketing Association, February 21, 22, 23, 1973. Washington, D.C., mimeo, 14 pp.; and Sheldon, Eleanor Bernert and Parke, Robert. Social Indicators: Social Science Researchers Are Developing Concepts and Measures of Changes in Society. Mimeo, forthcoming in Science, 34 pp.

and federally sponsored program evaluation activities. 127/ Some researchers have, in fact, faulted the OMB's first effort at compiling an annual social report, its study Social Indicators, 1973, because the data presented were not interpretated or or evaluated in a manner which gave policymakers any indication of how present social conditions or changes in social conditions overtime related to the problems they face. 128/

Some recognition of the need to develop social indicators for policy-making purposes is reflected in "The Full Opportunity and Social Accounting Act," which was approved in the Senate in both the 91st and 92nd Congresses, and was reported and tabled in the 93rd Congress. 129/ The proposal provided for creation of a Council of Social Advisors in the Executive Office of the President. The council "would be responsible," according to Senator Walter F. Mondale, the bill's principal sponsor, "for monitoring, on an on-going basis, specific actual conditions in the country which affect the 'social opportunity' of our people." "Developing a system of social indicators," the Senator continues, "would be a principal task of the council." Utilizing data generated by the Council of Social Advisors, the President would be required to report annually "on the Nation's social status." The following areas would receive priority: "education, health, alienation, political participation, personal security, and social mobility." 130/

127/ Schneider, Jerrold E. Making Government Work: Political Versus Technical Obstacles to Social Accounting. American Behavioral Scientist, v.17, n.4, March/April 1974: 585-607; and Mondale, op. cit.

128/ Taueber, op. cit.: 6-7.

129/ S. 5, The Full Opportunity and National Goals and Priorities Act, statement on the floor of the Senate by Sen. Walter F. Mondale. Congressional Record. January 4, 1973: pp. S52-56. The bill, S. 5, was reported by the Committee on Labor and Public Welfare in July 1973 (Sen. Report No. 93-324), and saw floor action which deleted original Title II of the proposal which proposes to create a Congressional Office of Goals and Priorities Analysis.

130/ Mondale, Walter F. Social Advisors, Social Accounting and the Presidency. Law and Contemporary Problems [Duke University School of Law, Summer 1970]: 497.

Such a system is necessary, Senator Mondale says, to give "societal knowledge visibility of the sort that only presidential involvement can generate," and to provide Congress and the President with better data on which to make more informed decisions.

Recent literature and research reports on social indicators have identified a number of other obstacles to the development of social indicators and improved program evaluation data. These are described next.

Understanding of cause and effect relationships underpinning changes in society is another criterion which must be met before social indicators can become useful for policymaking. However, according to Sheldon and Land, "...the state of the art with respect to the development of explanatory relationships [in the social sciences] is especially deficient."131/

Another of these problems is the issue of invasion of privacy. Longitudinal or time-series data, in some cases, requires annual interviews of the same persons on particularly sensitive questions. It is entirely conceivable that individuals would resist questions by Government officials regarding happiness, marital problems, and the like. Furthermore, objections have been raised in many quarters to collection by Government agencies of disaggregated data which violate protection of fundamental civil rights. A case in point is the disagreement with some current Federal agency objectives of equalizing employment by race, religion and sex. Some persons object to the establishment of goals or quotas of this nature, and to the collection and possible evaluation of these data.

Hard-to-measure, subjective data are frequently collected by means of survey research. This technique, according to Albert D. Biderman, has serious limitations which should be remedied before it can be employed on a large scale in social indicators research:

131/ Sheldon, Eleanor Bernert and K.C. Land. Social Reporting for the 1970's: A Review and Programmatic Statement. Policy Sciences, v.3, 1972: 141.

> ...The only currently available means of securing data for indicator systems is through interview and questionnaire surveys. Although the Nation has vast resources for carrying out such surveys, only a small proportion of these conform to the exacting standards of, for example, the Census Bureau. ...Prevailing standards of survey practice are incompatible with meeting even loose criteria of validity... I cannot see the goals of current grant proposals for social indicator systems being met without considerable qualitative and quantitative upgrading of the survey industry ...132/

Notable objections have also been raised to the implementation or policy invocation phase of social indicators activity. Peter Henroit, a widely published student of social indicators, notes that more and better social information does not necessarily lead to better decision-making. Political decision-making, based upon bargaining and compromise of competing interests, occurs, he says, regardless of the level of sophistication of data generated by different decision-making bodies. As a case in point, he reports that:

> Public housing was placed where it was in Chicago primarily because of political pressures against dispersion and no amount of information about social costs was likely to have made any difference. 133/

As a variant of this caveat, Frank J. Popper has warned that social indicators, especially the choice of indicators and values upon which they were based, would lead to elitist decision-making far different in tenor from the democratic pluralism characteristic of the United States. As an illustration of this notion, Popper says:

> Toward Balanced Growth, the first social report of the Nixon Administration, avoided discussing such issues as national priorities, race relations, urban decay and minority dissent, and its [discussion on] the consumer movement did not mention the activities of Ralph Nader. 134/

132/ Biderman, Albert D. Social Indicators -- Whence and Whither. A paper prepared for presentation to the First Annual Social Indicators Conference. American Marketing Association, February 17-18, 1972. [Washington, D.C., unpublished]: p.17.

133/ Henroit, Peter J. Political Questions About Social Indicators. The Western Political Quarterly, v. xxiii, no.2, June 1970: 244.

134/ Popper, Frank J. The Social Meaning of Social Accounting. Polity, v.4, Autumn.1971: 86.

PART VI. THE POSSIBLE ISSUES OF LEGISLATIVE CONCERN RAISED BY INFORMATION PRESENTED IN THE REPORT

This report was designed to provide legislative staff with background information on major issues of current concern in program evaluation. Summarized below are the major topics addressed and the possible issues of legislative concern generated by the information presented in the report.

I. The Initiation and Use of Program Evaluation

A. The Need to Clarify Legislative Statements of Program Goals and the Purposes of Evaluation.

1. Consideration of the need for the Congress and for Federal agencies to examine the merits of specifying program goals and objectives more precisely to promote the development of appropriate yardsticks or goals of programs to facilitate the conduct of program evaluation.

2. Consideration by the Congress and especially by authorizing and appropriations committees of the need to clarify and further detail statutory requirements for program evaluation.

3. Congressional consideration of developing appropriate criteria and expectations for the performance of program evaluation, to provide for better correspondence between existing program evaluation techniques and the vague aims of broad-scale social programs, which frequently preclude adequate evaluation.

B. Better Communication for Effective Evaluation.

1. Possible inquiry by the Congress into Federal agency and social scientists' techniques and obligations to provide for improved communications between evaluators and federal administrators to eliminate problems encountered in developing and conducting program evaluations.

2. Possible congressional inquiry into the incentive and reward system of universities which tends to discourage the conduct of program evaluations useful to policy-makers.

C. The Integration of Program Evaluation Into Program Management.

1. Possible congressional inquiry into the extent to which agencies use program evaluation in planning and budgeting and of ways to further enhance the utility of evaluation reports in these activities.

2. Consideration of the need for agencies to develop comprehensive evaluation work plans, setting priorities for program evaluation and recommending program evaluation methodologies most appropriate to the agency's objectives; consideration of a "preassessment of the evaluability of programs."

3. Possible congressional encouragement of the development by agency, of program evaluation handbooks for use within the agency and by State and local administrators who are given greater evaluation and accountability responsibilities with continuing decentralization of some grant programs and revenue sharing.

4. Possible Congressional inquiry into the need for agencies to establish inventories of program evaluation research in process and finished, to assist agencies in eliminating duplicate program evaluation researches, to determine priorities for research, and to assist in promoting development of an overall agency evaluation work plan.

5. Consideration of requiring Government-wide inventories of completed program evaluations to permit sharing of program evaluation information gathered with Federal funds, to enhance the evaluation of similar programs in other agencies and geographic locales, and to stimulate refinement of the methodology of program evaluation.

6. Consideration of the need for social scientists to be encouraged to prepare program evaluation reports in forms most compatible for policy-making purposes.

D. The Need for Better Dissemination of Program Evaluation Information Supported Under Federal Agency Auspices.

1. Consideration of inquiring into the need for Federal agencies to encourage program evaluation information dissemination systems within agencies to assist researchers in sharing information on already completed evaluations.

2. Consideration of Congressional inquiry into the need to establish a Government-wide inventory of abstracted program evaluation reports under auspices of an executive or legislative branch agency or incorporated into existing bibliographic devices to assist researchers in sharing information and to expedite the work of administrators who rely upon evaluations in assessing the merits of a Federal program.

II. Improved Coordination of Program Evaluation in the Executive and Legislative Branches

A. The Need to Incorporate Program Evaluation in Executive Branch Budget Processes.

1. Possible Congressional inquiry into steps the Office of Management and Budget should take to further encourage the use of program evaluation information in preparing budget and program statements, and particularly to encourage Federal agencies to collect hard-to-measure, but relevant, social impact data in the normal course of administering a program to facilitate evaluation of the program.

2. Review, as needed, by the Congress, of steps the OMB is taking to utilize program evaluation information in providing for a better evaluation of how alternative programs help meet national needs, and related to this, the evaluation of the impacts on these issues of the OMB reorganization and "management by objectives" effort.

3. Congressional assessment, as needed, of program evaluation under the revenue sharing program especially with respect to the effectiveness of decentralized accountability, and the quality of auditing and evaluation standards and reporting requirements promulgated by the General Accounting Office and the Office of Revenue Sharing to generate appropriate evaluation information.

4. Consideration by the Congress of proposals to give OMB increased responsibility for centralizing and overseeing executive branch program evaluation activities.

5. Possible Congressional examination of the merits of the recently proposed Federal Program Evaluation Office in the Executive Office of the President or in the Office of Management and Budget.

B. Issues Relating to the Improvement of Legislative Branch Program Evaluation Capabilities.

1. Continued congressional consideration and oversight of ways to fashion a better link between the process of congressional oversight and appropriations to mesh legislative review and evaluation of programs with determination of appropriate program priorities and funding levels.

2. Congressional consideration of establishing a catalogue which would abstract on-going and completed program evaluation studies by agency and social program area, with information in a form compatible with legislative information requirements, either by the General Accounting Office, by the General Accounting Office in cooperation with the Office of Management and Budget, or by a separate unit.

C. Issues Surrounding the Role of the General Accounting Office in Providing the Congress with Improved Program Evaluation Capabilities.

1. Continued liaison between the Office of Program Review and Evaluation in the General Accounting Office and legislative committees to develop statements of program objectives and legislative requirements for evaluation which are compatible with prevailing techniques for the conduct of program evaluation and the collection of information required for evaluations.

III. The Procurement and Conduct of Program Evaluation

1. Possible development of better Government-wide reporting systems, by the National Science Foundation, GAO or OMB, on the conduct and utility of program evaluation, requiring submission of material according to uniform categories treating funding, performer, type of evaluation, purpose, and methodology.

2. Congressional inquiry into the performance of program evaluation research, assessing the relative merits for different types of evaluation of the following institutional performers:

-federally funded research and development centers,

-universities

-in-house, and

-profit vs. non-profit making contractors.

3. Congressional inquiry into problems dealing with funding mechanisms for program evaluation research; and possible revision of statutes, as suggested

by the Commission on Government Procurement, with respect to:

-cost overruns,

-independent research and development,

-sole source contract vs. competitive bidding,

-monopoly of program evaluation contracting by a few industrial firms,

-the merits of using profit-making vs. non-profit-making social science firms or institutions in performing program evalution research,

-content and impact of poorly stated RFPs for program evaluation research, and

-proper allocation of evaluation functions between in-house and extramural performers.

4. Congressional inquiry into the efficacy of designating appropriate levels of funding for program evaluation in authorizing legislation.

A. Alternative Institutions for the Conduct of Program Evaluation Research.

1. Possible inquiry into the merits of establishing program evaluation research units or institutes either for separate agencies, or for a class of social programs to support the conduct and utilization of better social program evaluation research.

2. Specifically, congressional and Federal agency inquiry into the development of alternative program evaluation institutions which would meet the following concerns:

-independence of administration,

-bringing a national perspective to bear in development of goals and research strategies,

-integration of policies for program evaluation research into other programs and policies for scientific research and development,

-linking of research institutions to client sponsors, distributed throughout the country, and

-provision of adequate training and facilities for interdisciplinary, policy-oriented research.

3. Consideration by the Congress and funding agencies of developing policies and programs to promote the training and utilization of policy-oriented social science researchers, in addition to discipline oriented basic and applied social science researchers.

IV. Methodological Issues in the Conduct of Program Evaluation

1. Oversight, by appropriate committees, of Federal priorities to support

the refinement of program evaluation methodology for use by Federal agencies especially programs supported by the Research Applied to National Science Foundation.

2. Consideration, by appropriate legislative committees and Federal agencies of the pros and cons of social experimentation and of requirements for program evaluations which use a social experimentation methodology. Especially relevant here are the issues of invasion of privacy, ethical and moral questions related to social experimentation, the need to fashion legislative requirements compatible with the conduct of social experiments (including simulation of "real world" conditions, and collection of appropriate continuous data).

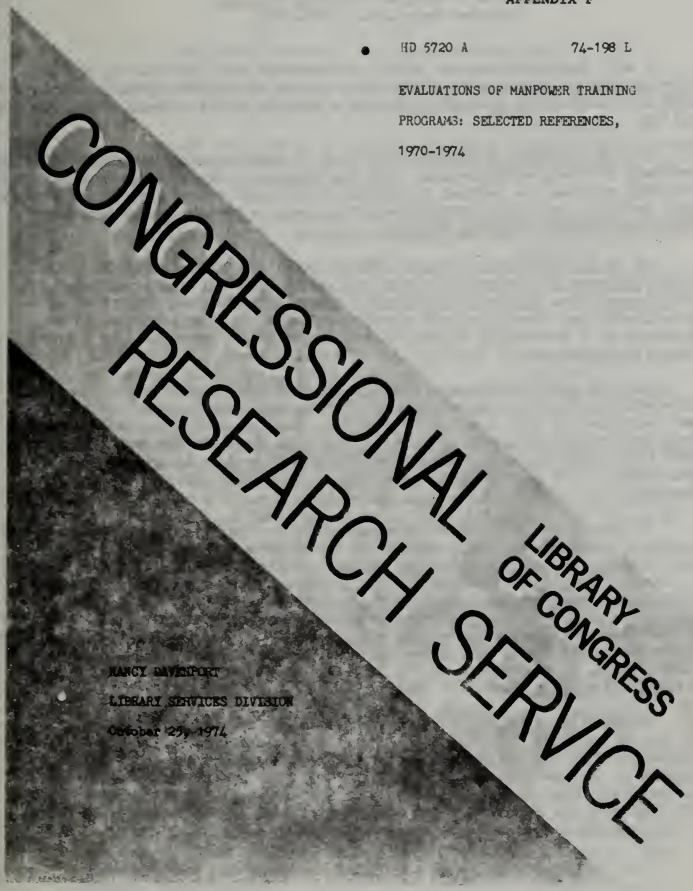
3. Consideration of Congressional attention to building into requirements for evaluation of data collection procedures appropriate for program evaluation techniques.

4. Consideration of Congressional and executive branch activities to cross-fertilize program evaluation and social indicators research to strengthen the development of both areas and to assist in providing program evaluators with appropriate and continuous valid social data.

APPENDIX F

HD 5720 A 74-198 L

EVALUATIONS OF MANPOWER TRAINING PROGRAMS: SELECTED REFERENCES, 1970-1974



Evaluations of Manpower Training Programs;
Selected References, 1970-1974.

A well developed manpower policy is concerned with facilitating the arrangements and adjustments of the labor supply to the labor demand. Employment and unemployment statistics provide a measure of the success of the overall policy.

This bibliography focuses on one facet of manpower policy: manpower training programs and their effectiveness. For the purpose of the bibliography, manpower training programs are defined to include occupational retraining, public employment training, vocational rehabilitation as well as private and government sponsored manpower training programs.

One of the systematic and more objective methods of assessing the quality of the programs is through the use of evaluation research techniques. By using comparative studies, quasi-control goups, estimates and other techniques, an evaluator can choose the most appropriate method or combination of methods to arrive at a scientific, objective, and comprehensive assessment of a program's effectiveness.

This two part bibliography presents citations to journal and monographic literature on the broad methodologies of evaluation research and its theories and techniques in part one, and in part two, their specific application to manpower training programs. The majority of the citations are annotated and have been chosen from the computerized bibliographic data base created and maintained by the Library Services Division of the Congressional Research Service.

Another source of information concerning the effectiveness of government sponsored manpower training programs are the reports of audits conducted and published by the General Accounting Office. The primary purpose of its audits is to make independent examinations for the Congress of the ways government agencies are discharging their financial responsibilities. In its audits the General Accounting Office makes recommendations to effect greater economy and efficiency in agency operations and attempts to determine whether alternative approaches might better accomplish the goals of the program. This bibliography cites several of the reports of the Comptroller General; others may be located through the monthly catalog of reports issued by the General Accounting Office.

The material cited is arranged alphabetically by main entry within each of the two sections. Citations to items in the classified collection of the Library of Congress are provided with call numbers, items designated Law are located in the Law Library and those with Newsp are found in the Newspaper and Current Periodical Room of the Library of Congress. All journal articles are provided with the call number for the bound volumes of the journal regardless of whether the issues cited have been bound at this time.

Evaluation Research: Theories and Techniques

Buchanan, Garth, Pamela Horst, and John Scanlon. Improving Federal evaluation planning. Evaluation, v. 1, no. 2, 1973: 86-90.
H62.A1E9, v. 1

Describes "an approach to federal evaluation planning that the Urban Institute has been developing in work for the Department of Labor and the National Institute of Mental Health."

Federal evaluation policy: analyzing the effects of public programs, by Joseph S. Wholey [and others] Washington, Urban Institute [1970] 134 p.
HN59.F37

Partial contents.--Federal evaluation--what it is and why it is needed.--Administration of an evaluation system.--Organizational relationships and responsibilities.--Evaluation resources.--Methodology.
Bibliography: p. 121-134.

Garn, Harvey A., and Mancur Olson. Public services on the assembly line. Evaluation, v. 1, no. 2, 1973: 36-42, 96. H62.A1E9, v. 1

In companion articles, the authors expand on evaluation and the care that must be exercised when measuring public performance.

Goodwin, Leonard. Bridging the gap between social research and public policy: welfare, a case in point. Washington, Brookings Institution, 1973. 114 p. (Brookings Institution, Washington, D.C. Reprint 266)

Suggests that an approach to social problems called experimental social research can help social scientists recognize social events as social problems.

Guttentag, Marcia. Subjectivity and its use in evaluation research. Evaluation, v. 1, no. 2, 1973: 60-65. H62.A1E9, v. 1

Describes a model for program evaluation which quantifies decision-maker's values on the belief that the inherent subjectivity of decision-making makes classical experimental designs not very useful.

Lyden, Fremont James, and Lawrence K. Lee. Evaluating program change. Social work, v. 18, Mar. 1973: 87-94. HV1.S644, v.18

"The authors describe a methodology developed and used effectively in one metropolitan area to measure program change. They identify and utilize the findings to show how greater change might be effected in more agencies."

Meinert, Roland G. Futures forecasting. Social work, v. 18, Nov. 1973: 48-51. HV1.S644, v. 18

"Four systematic techniques of forecasting the future, widely practiced in other fields, could be useful in social planning. The techniques are extrapolation, Delphi forecasting, simulation, and scenario speculation."

Shapley, Deborah. NSF: engineers' policy group urges more software for RANN. Science, v. 178, Dec. 22, 1972: 1270-1273. Q1.S35, v. 178

"RANN must get involved in the nitty-gritty of institutional malfunctioning and reform as the key to answering national needs."

Symposium on policy analysis. Urban affairs quarterly, v. 7, June 1972: 379-412. HT101.U67, v. 7

Partial contents.--Some promising approaches to policy analysis: an introduction, by J. Brandl.--Microanalytic simulation modeling for evaluation of public policy, by H. Guthrie.--The use of experimentation in policy formulation and evaluation, by W. Harrar and D. Bawden.--The capacity of social science organizations to perform large-scale evaluative research, by W. Williams.

Wegner, Robert E. C. Evaluating the evaluators. Public administration review, v. 33, Jan.-Feb. 1973: 80-87. JK1.P85, v. 33

Reviews 4 recent books which deal with evaluation of social action programs; books are by Joseph Keishaw, Robert Levine, Alice Rivlin and Walter Williams.

Weiss, Carol H. Abstracts on evaluative research, by Carol H. Weiss [and others. n.p.] Model Cities Evaluation Institute [1973?] 1 v. (unpaged)

Extensive abstracts of articles and books on evaluation in a variety of program areas is arranged alphabetically by author; subject/author index is provided.

----- Between the cup and the lip... Evaluation, v. 1, no. 2, 1973: 49-55. H62.A1E9, v. 1

"That much evaluation research falls short of the expectations of funders, program staff, and evaluators themselves is due less to limitations of research expertise than to organizational constraints on the researcher's ability to apply what he knows."

Wholey, Joseph S. What can we actually get from program evaluation? Policy sciences, v. 3, Sept. 1972: 361-369. H1.P7, v. 3

"Assesses the role program evaluation can play in assisting decisions on public programs."

Wilemon, David. Transferring space-age management technology. Conference Board record, v. 7, Oct. 1970: 50-55. HC101.C64, v. 7

"This article explores the characteristics of project management to appraise its transfer potentialities in managing society's complex problems, first examining...some of the generalized characteristics of these new management techniques."

CRS-4

Evaluations of Manpower Programs

Alleviating economic distress; evaluating a Federal effort, by Raymond H. Milkman [and others] Lexington, Mass., Lexington Books [1972] 412 p. HC110.P63A7

Barsby, Steve L. Cost-benefit analysis and manpower programs. Lexington, Mass., D.C. Heath, 1972. 180 p. HD5715.2.B36

Concludes that vocational rehabilitation appears to yield the highest benefit-cost ratios, followed by vocational education programs in vocational high schools, out-of-school institutional retraining programs, post secondary vocational education, Job Corps, and dropout prevention programs. Barsby adds the caveat however, that comparisons of manpower programs are hindered by internal deficiencies in the economic theories of cost-benefit analysis.

----- The economic effectiveness of on-the-job training: the experience of the Bureau of Indian Affairs in Oklahoma: comment. Industrial and labor relations review, v. 24, Jan. 1971: 265-258. HD4802.I53, v. 24

Boise Cascade Center for Community Development. Indian economic development; an evaluation of EDA's Selected Indian Reservation Program. [Washington, U.S. Economic Development Administration] 1972. 82 p. (U.S. Economic Development Administration. EDA-72-59847)
"Volume I: narrative" E98.E2B64

Borus, Michael E., and William R. Task. Measuring the impact of manpower programs; a primer. Ann Arbor, Institute of Labor and Industrial Relations, University of Michigan-Wayne State University, 1970. 81 p. (Policy papers in human resources and industrial relations, no. 17) HD5724.B625

Conference on the Evaluation of the Impact of Manpower Programs, Ohio State University, 1971. Evaluating the impact of manpower programs; proceedings. Edited by Michael E. Borus. Lexington, Mass., Lexington Books [1972] 280 p. HD5724.C684 1971
Bibliography: p. 259-271.

Conly, Sonia. Success and failure in the work incentive program. Growth and change, v. 4, Oct. 1973: 16-23.
Presents pilot cost-benefit study of the WIN program for welfare mothers in Florence, South Carolina.

Craft, James A. Public service jobs and transitional employment: an analysis of the Vermont Experimental and Demonstration Project. Pittsburgh, University of Pittsburgh [1974] 200 p.

Garfinkel, Irvin, and Larry L. Orr. Welfare policy and the employment rate of the AFDC mothers. National tax journal, v. 27, June 1974: 275-284. HJ2240.N3135, v. 27

"The paper analyzes the effect of economic incentives in the AFDC program on the employment of AFDC mothers. Short of a drastic reduction in guarantees, however, manipulation of any of the program parameters is not likely to induce most AFDC mothers to work.

Gold, Stephen F. The failure of the Work Incentive (WIN) Program. University of Pennsylvania law review, v. 119, Jan. 1971: 485-501.

Law

Hanushek, Eric A. Regional differences in the structure of earnings. Review of economics and statistics, v. 55, May 1973: 204-213. HA1.R35, v. 55

"This research reveals large differences across labor markets in the returns to human capital [and education] and indicates that much of the observed difference in regional and racial earnings results from structural differences in earnings functions."

Hardin, Einar, and Michael E. Borus. Benefits and costs of MDTA-ARA retraining. Industrial relations, v. 11, May 1972: 216-228. HD6951.I52, v. 11

Studying the manpower training programs in Michigan under the Area Development Act (ADA) and the Manpower Development and Training Act (MDTA), the authors evaluate the impact of these programs on the national product, the disposal income of trainees, and the expenditures and receipts of the government.

----- The economic benefits and costs of retraining. Lexington, Mass., Heath Lexington Books [1971] 235 p. HD5715.3.M5H37 1971

----- Economic benefits and costs of retraining courses in Michigan. Prepared for the Manpower Administration, U.S. Dept. of Labor. East Lansing, Mich. [School of Labor and Industrial Relations, Michigan State University] 1969. 428 p. HD5715.3.M5H37

Holt, Charles C. The unemployment-inflation dilemma: a manpower solution. Washington, Urban Institute, 1971. 112 p. HD5724.U6113

----- Manpower programs to reduce inflation and unemployment, by Charles C. Holt [and others] Washington, Urban Institute, 1971.

Lederer, K. M., and M. P. Bourgette. A critique of evaluation studies of manpower policies and programs. [Edmonton, Alberta, Human Resources Research Council, 1972] 81 p. Z7164.L1L34

Bibliography: p. [28]-81.

Levitan, Sar A. Antipoverty work and training efforts: goals and reality. 2d ed. [Ann Arbor, Institute of Labor and Industrial Relations] 1970. 120 p. HD6273.L47 1970

A joint publication of the Institute of Labor and Industrial Relations (University of Michigan-Wayne State University) and the National Manpower Policy Task Force.

----- Economic opportunity in the ghetto: the partnership of government and business, by Sar A. Levitan, Garth Mangum, and Robert Taggert. Baltimore, Johns Hopkins Press [1970] 84 p. HC110.P63L395

----- The Emergency Employment Act; an interim assessment. Washington, U.S. Govt. Print. Off., 1972. 274 p.

Prepared for the Subcommittee on Employment, Manpower, and Poverty of the Committee on Labor and Public Welfare, United States Senate.

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Levitan, Sar A. Emergency Employment Act; the PEP generation, by Sar A. Levitan and Robert Taggert. Salt Lake City, Utah, Olympus Publishing, c1974. 257 p.

Provides selected summaries which analyze the two year public employment program as it operated in various cities.

----- Evaluation of the first 18 months of the public employment program, by Sar A. Levitan and Robert Taggert. Prepared for the Subcommittee on Employment, Poverty, and Migrant Labor of the Committee on Labor and Public Welfare, United States Senate. Washington, U.S. Govt. Print. Off., 1973. 44 p. HD5724.L4226

At head of title: 93d Congress, 1st session. Committee print.

----- Social experimentation and manpower policy: the rhetoric and the reality, by Sar A. Levitan and Robert Taggert. Baltimore, Johns Hopkins Press [1971] 111 p. HD5724.L423

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Authors conclude that MDTA has been worth the cost and the effort. The evidence they found supports its effectiveness as a device to increase the employment of enrollees and it has opened new occupations and avenues of employment to both trainees and staff. They find, however, that MDTA does need to focus on broader concepts of employability, particularly prestigious institutions taking special care to see that the disadvantaged are served.

Minnesota. University. Center for Youth Development and Research. An inventory and assessment of youth development centers at colleges and universities in the United States. [Minneapolis, 1971] 183 l. HQ796.M534

Sewell, David O. Training the poor; a benefit-cost analysis of manpower programs in the U.S. antipoverty program. Kingston, Ontario, Industrial Relations Center, Queens's University, 1971. 153 p. (Queen's University. Industrial Relations Centre. Research series, no. 12) HD5724.S47

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Stromsdorfer, Ernest W. Review and synthesis of cost-effectiveness studies of vocational and technical education. Monticello, Ill., 1973. 42 p. (Council of Planning Librarians. Exchange bibliography 362)

U.S. Congress. Joint Economic Committee. Subcommittee on Fiscal Policy. Studies in public welfare; paper no. 3. Washington, U.S. Govt. Print. Off., 1972. 70 p.
Paper no. 3: The effectiveness of manpower training programs: a review of research on the impact of the poor.

U.S. Congress. Senate. Committee on Labor and Public Welfare. Subcommittee on Employment, Poverty, and Migratory Labor. Case studies of the Emergency Employment Act in operation. Washington, U.S. Govt. Print. Off., 1973. 1410 p.
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U.S. Economic Development Administration. Developing methodologies for evaluating the impact of EDA programs. [Washington] 1972. 1 v. (various pagings) HC110.P63A514 1972

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----- Efforts to employ disadvantaged persons in the Federal Government, Civil Service Commission, Department of Labor; report to the Congress by the Comptroller General of the United States. [Washington] 1972. 61 p.
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----- Evaluation of results and administration of the Job Opportunities in the Business Sector (JOBS) Program in five cities; report to the Congress [on the] Department of Labor by the Comptroller General of the United States. [Washington, 1971] 111 p. HD 5715.2.A555
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"B-130515, Apr. 2, 1974" HD6273.U52 1974

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Partial contents.--Central labor supply response.--Studies relating to the validity and generalizability of the results.--Response with respect to expenditure, health, and social behavior.--Operations, surveys, and administration.

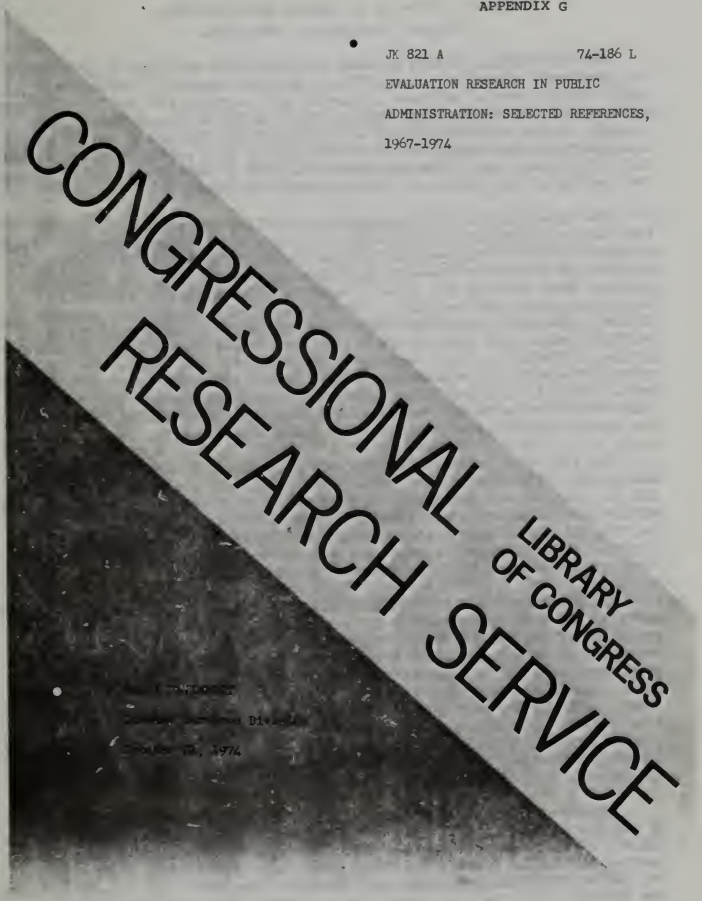
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APPENDIX G

JK 821 A 74-186 L

EVALUATION RESEARCH IN PUBLIC ADMINISTRATION: SELECTED REFERENCES, 1967-1974



Evaluation Research in Public Administration: Selected References, 1967-1974.

The continuously active process of running the business of government has grown more expensive, more diffuse, and more complex. Traditionally, public administration has been concerned with carrying out the law effectively, efficiently, and economically through organization and management. More recently it has concerned itself with interpreting the law as well. Public administration, whether an art or a science, is in a period of intense study and reflection. One of the systematic and more objective methods of assessing the quality of its efforts is through evaluation research.

The broad purpose of attaining a scientific, objective, and comprehensive assessment of the effectiveness of a program gives evaluation research a common bond with other social science research. However, the conditions under which evaluation research must operate provide it with a character distinct from other social science research. The evaluator frequently cannot manipulate the program or control the testing conditions because of the interactive environment of an administrative process and/or its multiple goals. But through the use of comparative studies, quasi-control groups, estimates or other techniques, an evaluator can choose the most appropriate method or combination of methods to provide a scientific assessment. While it is immediately apparent that each evaluation must be tailored to the particular needs of the programs being studied, there are broad methodologies common to most evaluation research.

The following two part bibliography presents citations to journal and monographic literature on the broad methodologies of evaluation research and its theories and techniques in part one, and in part two, their specific application to public administration and selected public programs. The majority of the citations are annotated and have been chosen from the computerized bibliographic data base created and maintained by the Library Services Division of the Congressional Research Service.

Another source of information concerning the effectiveness of government agencies and their programs are the reports of audits conducted and published by the General Accounting Office. The primary purpose of its audits is to make independent examinations for the Congress of the ways government agencies are discharging their financial responsibilities. In its audits the General Accounting Office makes recommendations to effect greater economy and efficiency in agency operations and attempts to determine whether alternative approaches might better accomplish the goals of the program. This bibliography cites only a few of the reports of the Comptroller General; others may be located in the monthly catalog of reports issued by the General Accounting Office.

The material cited is arranged alphabetically by main entry within each of the two sections. Citations to items in the classified collection of the Library of Congress are provided with call numbers; items designated Law are located in the Law Library and those with Newsp are found in the Newspaper and Current Periodical Room of the Library of Congress. All journal articles are provided with the call number for the bound volumes of the journal regardless of whether the issues cited have been bound at this time.

CRS-2 ·

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Biderman, Albert D., and Laure M. Sharp. The competitive evaluation research industry. Washington, Bureau of Social Science Research, 1972. 75 p.
Examines the social program evaluation research "industry" which has recently appeared in the U.S. and the competitive aspects of that industry (in bidding for contracts, etc.).

Buchanan, Garth, Pamela Horst, and John Scanlon. Improving Federal evaluation planning. Evaluation, v. 1, no. 2, 1973: 86-90. H62.A1E9, v. 1
Describes an approach to Federal evaluation planning that the Urban Institute has been developing in work for the Department of Labor and the National Institute of Mental Health.

Caro, Francis G., comp. Readings in evaluation research. New York, Russell Sage Foundation [1971] 418 p. H62.C3425

Davis, Howard R. Four ways to goal attainment; an overview. Evaluation, v. 1, no. 2, 1973: 43-48. H62.A1E9, v. 1
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Federal evaluation policy: analyzing the effects of public programs, by Joseph S. Wholey [and others] Washington, Urban Institute [1970] 134 p. HN59.F37
Partial contents.--Federal evaluation--what it is and why it is needed.--Administration of an evaluation system.--Organizational relationships and responsibilities.--Evaluation resources.--Methodology.
Bibliography: p. 121-134.

Goodwin, Leonard. Bridging the gap between social research and public policy: welfare, a case in point. Washington, Brookings Institution, 1973. 114 p. (Brookings Institution, Washington, D.C. Reprint 266)
Suggests that an approach to social problems called experimental social research can help social scientists recognize social events as social problems.

Guttentag, Marcia. Subjectivity and its use in evaluation research. Evaluation, v. 1, no. 2, 1973: 60-65. H62.A1E9, v. 1
Describes a model for program evaluation which quantifies a decision-maker's values in the belief that the inherent subjectivity of decision-making makes classical experimental designs not very useful.

Lyden, Fremont James, and Lawrence K. Lee. Evaluating program change. Social work, v. 18, Mar. 1973: 87-94. HV1.S644, v. 18
"The authors describe a methodology developed and used effectively in one metropolitan area to measure program change. They identify and utilize the findings to show how greater change might be effected in more agencies."

Meinert, Roland G. Futures forecasting. Social work, v. 18, Nov. 1973: 48-51. HV1.S644, v. 18
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Shapley, Deborah. NSF: engineers' policy group urges more software for RANN. Science, v. 178, Dec. 22, 1972: 1270-1273. Q1.S35, v. 178
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Contents.--Some promising approaches to policy analysis: an introduction, by J. Brandl.--An advocate's process outline for policy analysis: the case of welfare reform, by J. Lyday.--Microanalytic simulation modeling for evaluation of public policy, by H. Guthrie.--The use of experimentation in policy formulation and evaluation, by W. Harrar and D. Bawden.--The capacity of social science organizations to perform large-scale evaluative research, by W. Williams.

Wegner, Robert E. C. Evaluating the evaluators. Public administration review, v. 33, Jan.-Feb. 1973: 80-87. JK1.P85, v. 33
Reviews four recent books by Joseph Keishaw, Robert Levine, Alice Rivlin and Walter Williams which deal with evaluation of social action programs.

Weiss, Carol H. Abstracts on evaluative research, by Carol H. Weiss [and others. n.p.] Model Cities Evaluation Institute [1973?] 1 v. (unpaged).
Extensive abstracts of articles and books on evaluation in a variety of program areas are arranged alphabetically by author and a subject/author index is provided.

----- Between the cup and the lip... Evaluation, v. 1, no. 2, 1973: 49-55. H62.A1E9, v. 1
"That much evaluation research falls short of the expectations of funders, program staff, and evaluators themselves is due less to limitations of research expertise than to organizational constraints on the researcher's ability to apply what he knows."

----- Evaluating action programs; readings in social action and education, [compiled by] Carol H. Weiss. Boston, Allyn and Bacon [1972] 365 p. H62.W396
Partial contents.--A critique of evaluative research, by E. A. Suchman.--Memorandum on program evaluation, by H. W. Reicken.--Evaluation theory development, by M. C. Alkin.--Booby traps and pitfalls in the evaluation of social action programs, by P. H. Rossi.

----- Evaluation research: methods for assessing program effectiveness. Englewood Cliffs, N.J., Prentice-Hall [1972] 160 p. H62.W3962
Bibliography: p. 129-154.

----- An introduction to sample surveys for government managers [by] Carol H. Weiss [and] Harry P. Hatry. Washington, Urban Institute, 1971. 48 p. HN29.W4

Wholey, Joseph S. What can we actually get from program evaluation? Policy science, v. 3, Sept. 1972: 361-369.
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Wilemon, David. Transferring space-age management technology. Conference Board record, v. 7, Oct. 1970: 50-55. HC101.C64, v. 7
"This article explores the characteristics of project management to appraise its transfer potentialities in managing society's complex problems, first examining...some of the generalized characteristics of these new management techniques."

Williams, Walter. The capacity of social science organizations to perform large-scale evaluative research. Seattle [Institute of Governmental Research, University of Washington] 1971. 47 p. (Public policy paper, no. 2) JA37.P9 no.2

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Anthony, Robert. Closing the loop between planning and performance. Public administration review, v. 31, May-June 1971: 388-398.
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Banfield, Edward C. 12 sensible--but unpopular--steps toward a better city. Chicago tribune magazine, Apr. 19, 1970: 30-33, 44, 46, 49-54, 59-60.
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Bell, Daniel. On meritocracy and equality. Public interest, no. 29, fall 1972: 29-68. H1.P86, no. 29

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At head of title: 92d Congress, 2d session. Joint committee print.
Partial contents.--Report on a survey of Federal program evaluation practices.--Profiles of analytical studies.--An economic perspective on the small watersheds program.--Efficiency and equity effects in the benefits from the Federal housing program in 1965.--Econometric analysis of the Medicare program.--The in-school and summer Neighborhood Youth Corps: a nationwide evaluation of an investment in disadvantaged high school youth.--Benefits and costs of manpower training programs: a synthesis of previous studies with reservations and recommendations.

Brooks, Michael. Social planning and city planning. [Chicago, American Society of Planning Officials, c1970] 61 p. HT167.B7
Contents.--Social planning in the United States.--City planning and social problems.--A critical look at advocacy planning.--Toward a more effective social planning process.--Bibliography.

Chapman, William. Scholars examine value of social scientists in public policy. Washington post, Feb. 18, 1973, p. A2. Newsp
Discusses the debate about the role of social scientists in public policy involving Adam Yarmolinsky, James Q. Wilson and William M. Capron.

Committee for Economic Development. Improving Federal program performance; a statement on national policy by the Research and Policy Committee of the Committee for Economic Development, September, 1971. [New York, 1971] 86 p. HJ7539.C65

Cox, Bill. Application of marketing concepts to the analysis of a government program or agency. GAO review, spring 1971: 60-67.
HJ9701.G3
The GAO, in analyzing management of government programs, has emphasized only failure to produce or distribute needed services. Author points out that "the underlying causes for varying degrees of program ineffectiveness can be found in three other areas: defined need does not exist, unrealistic allocation of resources, or an improperly defined target market."

Garn, Harvey A., and Mancur Olson. Public services on the assembly line. Evaluation, v. 1, no. 2, 1973: 36-42, 96. H62.A1E9, v. 1

In companion articles, the authors expand on evaluation and the care that must be exercised when measuring public performance.

Gonzales, Jack, and John Rothchild. The Shriver prescription: how the government can find out what it's doing. Washington monthly, v. 4, Nov. 1972: 32-40. E838.W37, v. 4

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Gustafson, George A. Critical issues in governmental accounting. Federal accountant, v. 22, Mar. 1973: 10-23. HJ9801.F4, v. 22

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Hargrove, Erwin C. Professional styles in government: touchstones for the new policy scientist. Policy sciences, v. 2, summer 1971: 229-246. H1.P7, v. 2

"The article reports interviews with urban planners, lawyers, economists and political scientists about their experience in government. Propositions are developed about characteristic modes of thought and problem-solving styles of each profession and conclusions drawn about the relative 'effectiveness' of each set of professional skills in a policymaking process. It is then suggested that the new policy scientist profession should develop some of the positive skills of the other fields in order to enhance effectiveness."

Hatry, Harry P. Criteria for evaluation in planning state and local programs; a study submitted by the Subcommittee on Intergovernmental Relations (pursuant to S. Res. 55, 90th Cong.) to the Committee on Governmental Operations, United States Senate. Washington, U.S. Govt. Print. Off., 1967. 42 p. JF1351.H28

At head of title: 90th Congress, 1st session. Committee print.

----- Improving productivity and productivity measurement in local government [by] Harry P. Hatry and Donald M. Fisk. Prepared for the National Commission on Productivity. [Washington] 1971 [i.e. 1972] 73 p. JS363.H37

----- Practical program evaluation for state and local government officials, by Harry P. Hatry, Richard E. Winnie, and Donald M. Fisk. [Washington: Urban Institute [1973] 134 p. HD4605.H38
Partial contents.--Scope and current practices.--What's the program all about? Identification of program objectives, evaluation criteria, and clientele groups.--Case study of evaluation in action: operation clean sweep--a special city cleanup.--Putting it all together: institutional issues.
Bibliography: p. 127-134.

LeGates, Richard T. Can the Federal welfare bureaucracies control their programs: the case of HUD and urban renewal. Urban lawyer, v. 5, spring 1973: 228-263. Law
Focuses "on the Urban Renewal program and, by close examination of the internal workings of the HUD bureaucracy that administers Urban Renewal, seek[s] to explain why it is that HUD--and by implication other new social welfare bureaucracies--cannot control their programs."

Lynn, Laurence E., Jr. A Federal evaluation office? Evaluation, v. 1, no. 2, 1973: 56-59, 92, 96. H62.A1E9, v. 1
Former HEW Assistant Secretary for Planning and Evaluation proposes establishment of a Federal Program Evaluation Office or centering all departmental evaluation functions in the evaluation office of each Secretary.

Making Federal programs work better; highlights of Systematic thinking for social action, by Alice M. Rivlin. Washington, Brookings Institution [c1971] 9 p. (Brookings research report 112) H62.B714 no. 112

Marcuse, Peter. Social indicators and housing policy. Urban affairs quarterly, v. 7, Dec. 1971: 193-217. HT101.U67, v. 7
"Existing national housing policy is pursuing unsatisfactory goals and relying on unsatisfactory indicators to signal its achievements in doing so, but better goal formulations are hard to come by."

Morehouse, Thomas A. The problem of measuring the impacts of social-action programs. [Fairbanks, Institute of Social, Economic and Government Research, University of Alaska, 1972] 26 p. H62.5.U5M67
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----- Program evaluation: social research versus public policy. Public administration review, v. 32, Nov.-Dec. 1972: 868-874. JK1.P85, v. 32

Rivlin, Alice M. Systematic thinking for social action. Washington, Brookings Institution [1971] 150 p. (H. Rowan lectures in systems science) H62.R56

Staats, Elmer B. Evaluating the effectiveness of Federal social programs. GAO review, fall 1973: 1-7. HJ9701.G3
"Some of the difficulties of evaluating social programs are discussed in this article which is based on a speech delivered by the Comptroller General before the National Capital Area chapter of the American Society of Public Administration on January 17, 1973."

Stober, William J., and Laurence H. Falk. Evaluating investment decisions of state and local governments. Growth and change, v. 1, Oct. 1970: 38-42.

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Partial contents.--Some promising approaches to policy analysis: an introduction, by J. Brandl.--Microanalytic simulation modeling for evaluation of public policy, by H. Guthrie.--The use of experimentation in policy formulation and evaluation, by W. Harrar and D. Bawden.--The capacity of social science organizations to perform large-scale evaluative research, by W. Williams.

Systems analysis aids in urban problem areas. NBS technical news bulletin, v.55, Dec. 1971: 296-297, 302. QC100.U5753, v. 55

U.S. Congress. Joint Economic Committee. Subcommittee on Economy in Government. Economic analysis and the efficiency of government. Hearings, 91st Congress, 1st and 2nd sessions, 92d Congress, 1st session. Washington, U.S. Govt. Print. Off., 1969-1971. 6 pts. in 5 v. (1308 p.) KF25.E243 1969a

Hearings held Aug. 12, 1969 - July 19, 1971.

Parts 1-3 provide a general overview of government efficiency, while the last three parts cover specific topics: Part 4-Supersonic Transport Development; Part 5-Federal Transportation Policy; Part 6-Economic Incentives to Control Pollution.

U.S. Congress. Senate. Committee on Labor and Public Welfare. Special Subcommittee on Evaluation and Planning of Social Programs. Full Opportunity Act. Hearings, 91st Congress, 2d session, on S. 5. Washington, U.S. Govt. Print. Off., 1970. 439 p. KF26.L386 1970

Hearings held July 7 - Dec. 18, 1969 and Mar. 13, 1970.

U.S. Congress. Senate. Select Committee on Nutrition and Human Needs. Promises to keep: housing need and Federal failure in rural America. Rev. Apr. 1972. Washington, U.S. Govt. Print. Off., 1972. 43 p. HD7289.U6A536 1972

At head of title: 92d Congress, 2d session. Committee print.

U.S. Dept. of Housing and Urban Development. The Highland Heights experiment; a final report. [Washington, 1973] 108 p.

The experiment deals with the action goals relating to the screening process and the stimulation of services for residents of the HUD sponsored low income Fall River Highlands Heights Apartments for the physically impaired and elderly. The report deals with the findings of this short-term research effort.

U.S. General Accounting Office. [Legislative references to evaluation, 1967-1972. Washington] 1972. 62 l.

"B-161740, Aug. 14, 1973"

"This report includes a review of evaluation language contained both in legislation enacted between January 1967 and July 1972 and in bills passed by either or both Houses of Congress from January 1972 through July 1972."

——— Program evaluation: legislative language and a user's guide to selected sources. [Washington] 1973. 53 p.

"Part I is a user's guide to major sources of specialized studies, including evaluation studies, which are available outside of the various departments and agencies.... Part II is a summary of evaluation language contained both in legislation enacted between January 1967 and July 1972 and in bills passed by either or both Houses of the Congress from January through July 1972."

The Urban Institute; research, 1968-1971. Operations research, v. 20, May-June 1972: 516-557. Q175.063, v. 20

Description of the first three years of research at the Urban Institute, a nonprofit, nongovernmental research organization emphasizing the economic and social aspects of urban problems.

The following entries were received too late to be included with the alphabetized section of evaluation studies. These citations have been chosen from the Symposium on Program Evaluation which appears in the July-August 1974 issue of Public Administration Review.

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Cites three conditions which render a program "not evaluable": lack of definition, lack of clear logic and lack of management. Refusing to perform an evaluation until these conditions are corrected will prevent useless evaluation and, according to the authors, will force program improvements.

Lewis, Frank L., and Frank G. Zarb. Federal program evaluation from the OMB perspective. Public administration review, v. 34, July-Aug. 1974: 308-317. JK1.P85, v. 34

The major thrust of OMB's evalustion role in the immediate future will be to develop the collective ability to generate useful evaluations which are relevant to policy decisions, taking steps to assure that the evaluation unit is adequately staffed and has a close relationship with the program administrators.

Marvin, Keith E., and James L. Hedrick. GAO helps Congress evaluate programs. Public administration review, v. 34, July-Aug. 1974: 327-333. JK1.P85, v. 34

Discusses GAO's role in program evaluation, in program results audits, in development of principles and standards for evaluation and in development of new methods of evaluation such as simulation modeling.

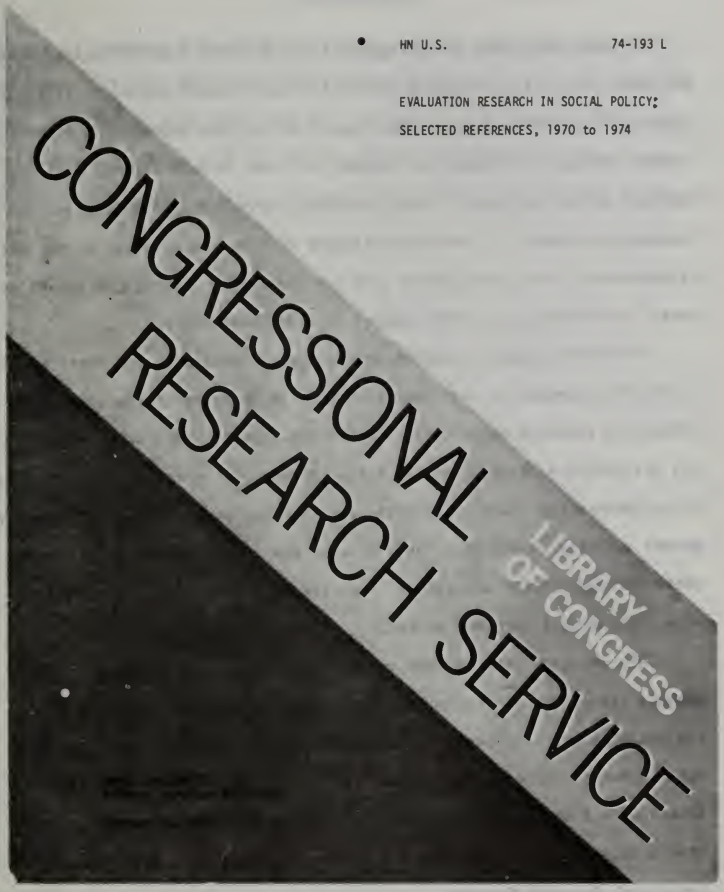
Poland, Orville F. Program evaluation and administrative theory. Public administration review, v. 34, July-Aug. 1974: 333-338. JK1.P85, v. 34

Cites the "uneasy position of program evaluation in the political realm" as program evaluation gives high priority to efficiency and effectiveness.

APPENDIX H

HN U.S. 74-193 L

EVALUATION RESEARCH IN SOCIAL POLICY:
SELECTED REFERENCES, 1970 to 1974



Introduction

In these days when large organizations and huge expenditures of money are required for the attempted solution of many social problems, it is to be expected that public policy makers would rather have forewarning of anticipated problem conditions and prepare for them through cogent, well-designed social policies. These policies, which bear on the comfort and improved well-being of the people insofar as they are affected by any unit of government, can range from a plan for mass rapid transit, to school mergers, to encouraging the development of a day care center.

This bibliography cites material concerned with only one facet of the topic: the assessments that have been made of social policies through evaluation research techniques. Evaluation research pursues an objective and systematic assessment of the effectiveness of a program or policy. By using comparative studies, computer simulations, projections, quasi-control groups and other techniques, an evaluator can choose the most appropriate method or combination of methods to arrive at a scientific and comprehensive assessment of a given policy.

This two-part bibliography presents citations to journal and monographic literature on the broad methodologies of evaluation research and its theories and techniques in part one; and in part two, their specific application to social policy formulations. The majority of the citations are annotated and have been chosen from the computerized bibliographic data base created and maintained by the Library Services Division of the Congressional Research Service.

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Library of Congress are provided with call numbers, items designated Law are located in the Law Library and those with Newsp are found in the Newspaper and Current Periodical Room of the Library of Congress. All journal articles are provided with the call number for the bound volumes of the journal regardless of whether the issues cited have been bound at this time.

Evaluation Research

Abert, James B., and Murray Kamrass, eds. Social experiments and social program evaluation; proceedings of the Washington Operations Research Council symposium. Cambridge, Mass., Ballinger Pub. Co. [1974] 199 p. HN57.A7

Biderman, Albert D., and Laure M. Sharp. The competitive evaluation research industry. Washington, Bureau of Social Science Research, 1972. 75 p.
Examines the social program evaluation research "industry" which has recently appeared in the U.S. and the competitive aspects of that industry (in bidding for contracts, etc.).

Buchanan, Garth, Pamela Horst, and John Scanlon. Improving Federal evaluation planning. Evaluation, v. 1, no. 2, 1973: 86-90. H62.A1E9, v. 1.
Describes "an approach to federal evaluation planning that the Urban Institute has been developing in work for the Department of Labor and the National Institute of Mental Health."

Davis, Howard R. Four ways to goal attainment; an overview. Evaluation, v. 1, no. 2, 1973: 43-48. H62.A1E9, v. 1.
Outlines four different methods of goal attainment evaluation.

Evaluation research; strategies and methods. [Pittsburgh] American Institutes for Research [1970] 160 p. H62.5.U5E9

Federal evaluation policy: analyzing the effects of public programs, by Joseph S. Wholey [and others]. Washington, Urban Institute [1970] 134 p. HN59.F37
Partial contents.--Federal evaluation--what it is and why it is needed.--Administration of an evaluation system.--Organizational relationships and responsibilities.--Evaluation resources.--Methodology.
Bibliography: p. 121-134.

Garn, Harvey A., and Mancur Olson. Public services on the assembly line. Evaluation, v. 1, no. 2, 1973: 36-42, 96. H62.A1E9, v. 1.
In companion articles, the authors expand on evaluation and the care that must be exercised when measuring public performance.

Gordon, T. J., S. Enger, and R. Rochberg. An experiment in simulation gaming for social policy studies. Technological forecasting, v. 1, Mar. 1970: 241-261. T174.T38, v. 1
"This paper describes the objectives, design, and play of a simulation game developed by the Institute for the Future under a grant from the Connecticut Research Commission. The general subject of the research...was the design of methodologies which promised to be useful in forecasting societal change and the application of these methodologies to derive societal forecasts for the state."

Guttentag, Marcia. Subjectivity and its use in evaluation research. Evaluation, v. 1, no. 2, 1973: 60-65. H62.A1E9, v. 1.
Describes a model for program evaluation which quantifies decision-maker's values on the belief that the inherent subjectivity of decision-making makes classical experimental designs not very useful.

Harberger, Arnold C. Project evaluation; collected papers. Chicago, Markham Pub. Co. [1972?] 330 p. HD47.H28

Hinrichs, Harley H., and Graeme M. Taylor. Systematic analysis; a primer on benefit-cost analysis and program evaluation. Pacific Palisades, Calif., Goodyear Pub. Co. [1972] 152 p. HJ2052.H53

Lyden, Fremont James, and Lawrence K. Lee. Evaluating program change. Social work, v. 18, Mar. 1973: 87-94. HV1.S644, v. 18.
"The authors describe a methodology developed and used effectively in one metropolitan area to measure program change. They identify and utilize the findings to show how greater change might be effected in more agencies."

Meinert, Roland G. Futures forecasting. Social work, v. 18, Nov. 1973: 48-51. HV1.S644, v. 18.
"Four systematic techniques of forecasting the future, widely practiced in other fields, could be useful in social planning. The techniques are extrapolation, Delphi forecasting, simulation, and scenario speculation." HV1.S644, v. 18.

Symposium on policy analysis. Urban affairs quarterly, v. 7, June 1972: 379-412. HT101.U67, v. 7
Contents.--Some promising approaches to policy analysis: an introduction, by J. Brandl.--An advocate's process outline for policy analysis: the case of welfare reform, by J. Lyday.--Micro-analytic simulation modeling for evaluation of public formulation and evaluation, by W. Harrar and D. Bawden.--The capacity of social science organizations to perform large-scale evaluative research, by W. Williams.

Wegner, Robert E. C. Evaluating the evaluators. Public administration review, v. 33, Jan.-Feb. 1973: 80-87. JK1.P85, v. 33

Weiss, Carol H. Abstracts on evaluative research, by Carol H. Weiss [and others [n.p.] Model Cities Evaluation Institute [1973?] 1 v. (unpaged)
Extensive abstracts of articles and books on evaluation in a variety of program areas are arranged alphabetically by author and a subject/author index is provided.

----- Between the cup and the lip... Evaluation, v. 1, no. 2, 1973: 49-55. H62.A1E9, v.1

"That much evaluation research falls short of the expectations of funders, program staff, and evaluators themselves is due less to limitations of research expertise than to organizational contraints on the researcher's ability to apply what he knows."

----- Evaluative research: methods for assessing program effectiveness. Englewood Cliffs, N. J., Prentice-Hall [1972] 160 p. H62.W3962

Wholey, Joseph S. What can we actually get from program evaluation? Policy sciences, v. 3, Sept. 1972: 361-369. H1.P7, v. 3

"Assesses the role program evaluation can play in assisting decisions on public programs."

Wilemon, David. Transferring space-age management technology. Conference Board record, v. 7, Oct. 1970: 50-55. HC101.C64, v. 7

"This article explores the characteristics of project management to appraise its transfer potentialities in managing society's complex problems, first examining...some of the generalized characteristics of these new management techniques."

CRS-4

Evaluations of Social Policy

Allen, Gary. America, 1973: freedom rings for help. American opinion, July-Aug. 1973: 1-15, 17-20. AP2.O4732
Criticizes the political establishment's economic and social policies; urges a freer economy and stricter law enforcement.

Bazell, Robert J. NSF: is applied research at the take off point? Science, v. 172, June 25, 1971: 1315-1317. AlS. 35, v. 172
Discusses the NSF's new RANN (Research Applied to National Needs) program.

Benefit-cost analyses of Federal programs; a compendium of papers. Submitted to the Subcommittee on Priorities and Economy in Government of the Joint Economic Committee, Congress of the United States. Washington, U. S. Govt. Print. Off., 1972. 274 p.
At head of title: 92d Congress, 2d session. Joint Committee print. HJ7539.B45
Partial contents.--Report on a survey of Federal program evaluation practices.--Profiles of analytical studies.--The family assistance plan: an analysis and evaluation.--Efficiency and equity effects in the benefits from the Federal housing program in 1965.--Econometric analysis of the Medicare program.--Benefits and costs of manpower training programs: a synthesis of previous studies with reservations and recommendations.

Brezina, Dennis W. The congressional debate on the social sciences in 1968. Washington, Program of Policy Studies in Science and Technology, George Washington University, 1968. 21 p. (George Washington University, Washington, D. C. Staff discussion paper 400)

Campbell, Donald T. Reforms as experiments. Urban affairs quarterly, v. 7, Dec. 1971: 133-171. HT101.U67, v. 7
"The United States and other modern nations should be ready for an experimental approach to social reform, an approach in which we try out new programs designed to cure specific social problems, in which we retain, imitate, modify, or discard them on the basis of apparent effectiveness on the multiple imperfect criteria available." See also "Problems facing Campbell's 'Experimental Society'" by Phillip Shaver and Graham Staines, p. 173-192 in the same issue.

Campfield, William L. Financial management and social reporting by the Federal Government in the 1970's. Footnote, no. 6, winter 1972-73: 1-14.
Describes some of the grave social problems that Federal managers and their accounting and other professional advisers must confront, focusing on the constraints and limitations on social programs evaluation as well as selected examples of efforts by Federal auditors to assess the effectiveness of social program planning and performance.

Chapman, William. Scholars examine value of social scientists in public policy. Washington post, Feb. 18, 1973, p. A2. Newsp

Discusses the debate about the role of social scientists in public policy involving Adam Yarmolinsky, James Q. Wilson, and William M. Capron.

Clausen, A. W. Toward an arithmetic of quality. Conference Board record, v. 8, May 1971: 9-13. HC101.C64, v. 8

The first step toward effective policy making must be the development of a set of social accounts, or social report, that can "identify, assess and measure those elements of national life that are essential to our well-being--and which are not, and cannot be, measured by present economic indices."

Coelho, Goerge V., Elinor Stillman, and Eli A. Rubinstein, eds. Social change and human behavior; mental health challenges of the seventies. Rockville, Md., National Institute of Mental Health [for sale by the Supt. of Docs., U.S. Govt. Print. Off., 1972] 237 p. (U.S. Dept. of Health, Education, and Welfare. DHEW publication no. (HSM) 72-1922)

Partial contents.--Aggressive behavior and human evolution, by S. Washburn.--Psychological man in revolution: the struggle for communal resymbolization, by R. Lifton.--Roles of the behavioral scientist in policy-oriented research, by H. Kelman.--Science policy and the government-university partnership, by A. Hunter Dupree.

Cohen, Wilbur J. The quality of life and social indicators. National bureau report, Mar. 1972, suppl.: 1-11.

Argues for greater national concern with social problems rather than economic gains.

Cohn, Elchanan. Public expenditure analysis, with special reference to human resources. Lexington, Mass., Lexington Books [1972] 157 p. HJ7451.C56

Cook, Thomas J., and Frank P. Scioli, Jr. A research strategy for analyzing the impacts of public policy. Administrative science quarterly, v. 17, Sept. 1972: 328-339. HD28.A25, v. 17

Presents "a research strategy for measuring policy impacts based upon the principles of experimental design methodology."

Duhl, Leonard J., ed. A symposium on the urban crisis: selected from the 1968 Department of Housing and Urban Development summer study in urban affairs. Berkeley, Center for Planning and Development Research, University of California [1970?] 458, 32 l.

Partial contents.--New roles in social policy planning.--Social report of the President.--Social indicators of minority problems: the case of Mexican-Americans.

Floyd, Robert H. Federal economic policies in perspective. Federal Reserve Bank of Atlanta monthly review, Apr. 1972: 62-67.

Forrester, Jay W. Counterintuitive behavior of social systems. Technology review, v. 73, Jan. 1971: 53-68. T171.M47, v. 73
"This paper addresses several issues of broad concern in the United States: population trends; the quality of urban life; national policy for urban growth; and the unexpected, ineffective, or detrimental results often generated by government programs in these areas."

Francis, Walton. What social indicators don't indicate. Evaluation, v. 1, no. 2, 1973: 79-83. H62.A1E9, v. 1

Freeman, Howard E., and Clarence C. Sherwood. Social research and social policy. Englewood Cliffs, N.J., Prentice-Hall [1970] 159 p. (Prentice-Hall series in social policy) H62.F72

Glazer, Nathan. The limits of social policy. Commentary, v. 52, Sept. 1971: 51-58. DS101.C63, v. 52

Goodwin, Leonard. Bridging the gap between social research and public policy: welfare, a case in point. Washington, Brookings Institution, 1973. 114 p. (Brookings Institution, Washington, D.C. Reprint 266) HV95.G59
Suggests that an approach to social problems called experimental social research can help social scientists recognize social events as social problems.

The Great society: lessons for the future: Public interest, no. 34, winter 1974: whole issue. H1.P86, no. 34
Partial contents.--Social intervention in a democracy, by L. Liebman.--Economic policy and unemployment in the 1960's, by E. Phelps.--Reform follows reality: the growth of welfare, by G. Steiner.--What does it do for the poor? A new test for national policy, by R. Lampman.--The uses and limits of manpower policy, by L. Ulman.--Major public initiatives in health care, by H. Klarman.--Economic developments in the Black community, by A. Brimmer.--Blacks and the crisis of political participation, by C. Hamilton.--Some lessons of the 1960's, by E. Ginzberg and R. Solow.

Harman, Willis W., and John T. McAlister, Jr. An assessment of the institutional requirements for developing and implementing national growth policy. In Remarks of Vance Hartke. Congressional record [daily ed.] v. 119, Nov. 27, 1973: S21084-S21085. J11.R5, v. 119
"The major purpose of developing explicit national growth policy ...is to provide a framework which can serve as a basis for coordination of programs intended to affect growth, and that can ensure that

growth impacts are explicitly considered in the formulation and implementation of other programs whose primary purpose is not directly related to growth."

Holleb, Doris B. Social & economic information for urban planning. Chicago, Center for Urban Studies, University of Chicago, 1969. 187 p. HT167.H64
Partial contents. --The nature of an information system for urban planning. --The evolution of comprehensive planning. --Metropolitan perspectives and local interests. --Computers and sophisticated analytic techniques.

The Human being: designer or designed? Social education, v. 37, Nov. 1973: 622-634. H62.A1S6, v. 37
Contents. --Culture, aggression, and where we are going, by P. Bohannan. --White collar conflict, by R. Hammond.

Koenig, Louis W. The President needs new kinds of power. In Seven polarizing issues in America today. Philadelphia, American Academy of Political and Social Science, 1971. (Its Annals, v. 397, Sept. 1971) p. 71-82 H1A4, v. 397
Dr. Koenig suggests that the President needs to increase the variety and quality of his power to create a better social policy.

McVeigh, Thomas. Social indicators: a bibliography. Monticello, Ill., 1971. 45 l. (Council of Planning Librarians. Exchange bibliograph 215)

Mishan, Edward J. Economics for social decisions; elements of cost-benefit analysis [by] E. J. Mishan. New York, Praeger [1973, c1972] 151 p. HD47.5.M532 1973

Monti, Lorna A. Social indicators, prices and politics: uses of planning and evaluation data in Texas state government. Texas business review, v. 48, June 1974: 132-136. HC107.T4T46, v. 48

Moynihan, Daniel P. Policy vs. program in the '70's. Public interest, no. 20, summer 1970: 90-100. H1.P86, no. 20

Novick, David. Cost-benefit analysis and social responsibility. Business horizons, v. 16, Oct. 1973: 63-72. HF5001.B828, v. 16
"Cost-benefit analysis, an established tool for choosing the path to profit maximization, can now be applied to decide how and where to use funds earmarked for a 'socially responsible' plan."

Olson, Mancur. An analytical framework for social reporting and policy analysis. In Political intelligence for America's future. Philadelphia, American Academy of Political and Social Science, 1970. (Its Annals, v. 397, Sept. 1971) p. 112-126 H1.A4, v. 397

Rossi, Peter Henry, and Walter Williams, eds. Evaluating social programs; theory, practice, and politics. New York, Seminar Press, 1972. 326 p. (Quantitative studies in social relations)
H62.R664

Partial contents.--Testing for success and failure in social action, by T. R. Houston.--The methodology of evaluating social action programs, by E. L. Dill [and others].--Evaluating Federal manpower programs; notes and observations, by D. N. Kershaw.--The politics of evaluation: the case of Head Start, by P. H. Rossi.

Salvatore, Anthony M. Eight steps for better planning. Human needs, v. 1, Apr.-May 1973: 29-31. HV1.H84, v. 1

"From identifying goals to monitoring and evaluating results, each step in the social service planning process is an important one."

Science, public policy and the scientist administrator; an anthology. Santa Barbara, Calif., Center for the Study of Democratic Institutions [1971?] 265 p.

The articles are divided into three sections. "Part I deals with the socio-economic implications and impact of science and technology upon society; Part II, the effect of national advisory and policy groups on science strategy within the Executive and Legislative branches of government; and Part III presents considerations of the fiscal dilemma of academia and science and the Federal support of biomedical research, including speculations on future trends."

Shapiro, David L. Can public investment have a positive rate of return? Journal of political economy, v. 81, Mar.-Apr. 1973: 401-413. HB1.J7, v. 81

"The model presented assumes that public managers select investment projects that maximize the net private benefits of their constituent pressure groups. This achieves increased agency size, which is more likely to increase managerial compensation than to maximize net social benefits, the assumed goal of the conventional public investment model. ... The analysis as well as empirical evidence suggests that inefficient public projects are the rule rather than the exception."

Sheldon, Eleanor Bernert, and Kenneth C. Land. Social reporting for the 1970's: a review and programming statement. Policy sciences, v. 3, July 1972: 137-151. H1.P7, v. 3

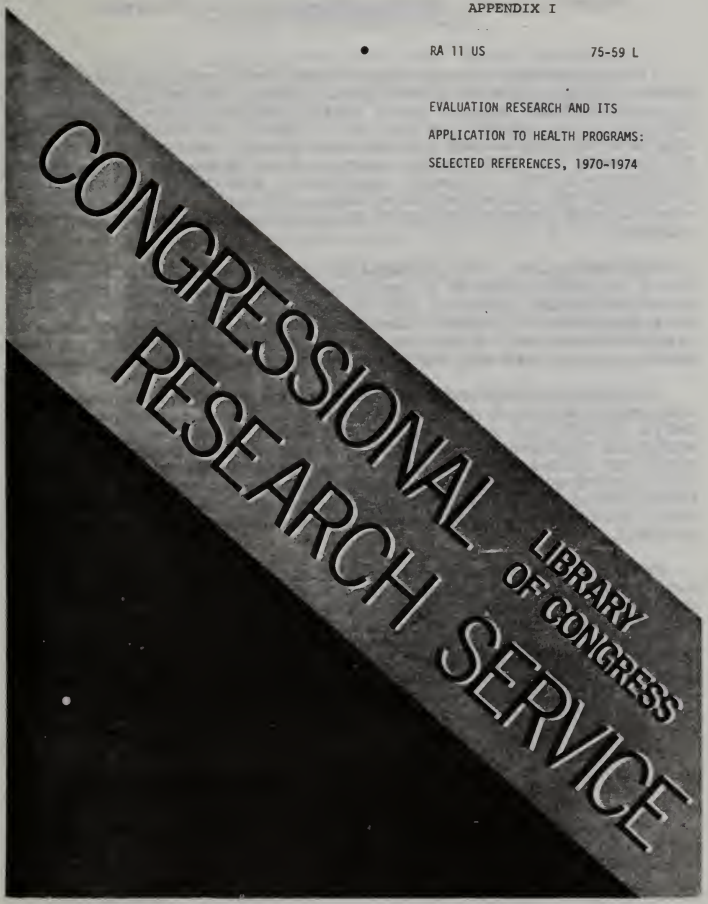
Tripodi, Tony, Phillip Fellin, and Irwin Epstein. Social program evaluation; guidelines for health, education, and welfare administrators. Itasca, Ill., F. E. Peacock Publishers, c1971. 142 p.
HN29.T7

Partial contents.--Demand for evaluation.--Social programs and social program evaluation.--Socio-political context of evaluation.--Objectives of differential evaluation.--Techniques of evaluation.--Uses of consultation.

APPENDIX I

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EVALUATION RESEARCH AND ITS APPLICATION TO HEALTH PROGRAMS: SELECTED REFERENCES, 1970-1974



Evaluation Research and Its Application to Health Programs: Selected References, 1970-1974

The application of scientifically oriented social research techniques to assess a program's achievements is the hallmark of evaluation research. It resembles other kinds of social research in its concern for accuracy, objectivity, and reliability of data, but it differs from most other methodologies in that it is usually performed in a dynamic environment over which the evaluator has little or no control. From techniques which include comparative studies, computer simulations, projections and longitudinal evaluations, the researcher must choose the most effective method or combination of methods suitable for the special nature of the program under evaluation.

This bibliography cites published literature concerned with the application of evaluation research to health programs in the United States. As the national health authorities deal increasingly with interstate health problems, programs and policies have been developed which are amenable to evaluation research. In similar fashion, the operations of state and local health programs may also fall within the purview of evaluation research.

The following two part bibliography presents citations to journal and monographic literature on the broad methodologies of evaluation research and its theories and techniques in part one; and in part two, their specific application to programs in the national, state, and local health areas. This section is divided into four topical areas: Public Health (which includes health facilities, community health programs, and mental health care); Birth Control (which includes population control, child health, and child care); Alcoholism and Drug Abuse Treatment Programs; and Medicare and Medicaid.

The majority of the citations in this bibliography have been selected from the computerized bibliographic data base created and maintained by the Library Services Division of the Congressional Research Service. The material cited is arranged alphabetically by main entry within each of the sections. Citations to items in the classified collections of the Library of Congress are provided with call numbers or the designation Law if they are in the Law Library. All journal articles are provided with the call number for the bound volumes of the journal regardless of whether the issues cited have been bound at this time.

Evaluation Research

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Describes "an approach to federal evaluation planning that the Urban Institute has been developing in work for the Department of Labor and the National Institute of Mental Health."

Carmichael, Nancy, and Robert Parke. Information services for social indicators research. Special libraries, v. 65, May-June 1974: 209-215. Z671.S72, v. 65

Describes the needs of researchers concerned with the measure of social change, "mentions some of the sources which exist to meet them, and shows how the Center for Coordination of Research on Social Indicators functions as an information clearinghouse and communication center to help researchers find the information they require."

Davis, Howard R. Four ways to goal attainment; an overview. Evaluation, v. 1, no. 2, 1973: 43-48. H62.A1E9, v. 1.

Outlines four different methods of goal attainment evaluation.

Evaluation of social intervention. San Francisco, Jossey-Bass, 1972. 267 p. (The Jossey-Bass behavioral science series) HV40.E9

Proceedings of a symposium held Jan. 14-15, 1971 at the Lincoln Center Campus of Fordham University.

Bibliography: p. 255-262.

Evaluation research; strategies and methods. [Pittsburgh] American Institutes for Research [1970] 160 p. H62.5.U5E9

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HJ2052.H53
Simplifies and summarizes the core of systems analysis presenting case studies and successful examples of completed analysis, illustrating different analysis techniques.

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Moursund, Janet. Evaluation: an introduction to research design. Monterey, Calif., Brooks/Cole Pub. Co. [1973] 153 p.
H62.M68

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H62.W3962

Wholey, Joseph S. What can we actually get from program evaluation? Policy sciences, v. 3, Sept. 1972: 361-369. H1.P7, v. 3

"Assesses the role program evaluation can play in assisting decisions on public programs."

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HC101.C64, v. 7

"This article explores the characteristics of project management to appraise its transfer potentialities in managing society's complex problems, first examining... some of the generalized characteristics of these new management techniques."

CRS-4

Evaluations of Public Health Programs

Berkowitz, Monroe. New emphasis on evaluation for services management. Social and rehabilitation record, v. 1, July-Aug. 1974: 20-23.
"It is truly possible to evaluate but not to denigrate, to be rational without being callous, to be accountable to the taxpayer without sacrificing responsibility to the handicapped. But this can be done only if goals are shaped which challenge those who build evaluation models to join in reaching towards them."

Downing, Billie, and others. Accountability in administration: responsibilities to clients, staff and the public. Mental retardation, v. 12, June 1974: 10-12. RC570.M38, v. 12
"New emphasis is being placed on accountability in programming, budgeting and planning throughout the continuum of services for the mentally retarded. Administrators are being called upon to recognize increasing demands on the tax dollar, the need for objective control of program quality, and priority relationship of mental retardation services to other social-health problems. The article discusses administrative responsibility to clients, staff and the public."

Epstein, Leon M., and others. Evaluation of a program of aftercare for patients discharged from the hospital. Medical care, v. 11, July-Aug. 1973: 320-327. RA413.M397, v. 11

Evaluation of Federal health programs. GAO review, summer 1973: 72-74. HJ9701.G3

Feldman, Saul, and Charles Windle. The NIMH approach to evaluating the community mental health centers program. Health services reports, v. 88, Feb. 1973: 174-180. RA445.A25, v. 88
"The NIMH evaluation approach consists of the coordination of four major components--monitoring, enhancing the evaluation capability of community mental health centers, program description, and evaluation of the national program."

Goltz, Barbara, Thomas N. Rusk, and Richard A. Sternbach. A built-in evaluation system in a new community mental health program. American journal of public health, v. 63, Aug. 1973: 702-709. RA421.A41, v. 63
"The evaluation of a new community mental health service is discussed in terms of the design of the evaluation system, the goals of the program, the therapy system, and lastly staff reactions and problems concerned with the procedures."

Grimshaw, Thomas E., Kenneth F. Nolan, Jr., and Steven C. Brady. Why program costing works for a medical center, and why it might not work for you. College & university business, v. 55, Nov. 1973: 36-39. LB2300.C5, v. 55

Grosse, Robert N. Cost-benefit analysis of health service. In The Nation's health: some issues. Philadelphia. American Academy of Political and Social Science, 1972. (Its Annals, v. 399, Jan. 1972) p. 89-99. H1.A4, v. 399

The author believes that "the costs of health services should be a significant consideration in deciding upon governmental health policies and programs." He gives examples of cost effectiveness based on dollars expended and lives saved.

Hardwick, C. Patrick, and Harvey Wolfe. An incentive reimbursement/industrial engineering experiment. Rockville, Md., U.S. Health Services and Mental Health Administration [available from NTIS] 1970. 537 p.

"PB-204 924"

"The evaluation focuses on quantification of cost savings, obstacles to full implementation, the incentive calculations and their effect, and how involvement in the program affected Blue Cross and participating hospitals."

Harwell, Mallory. A study on the accessibility of community mental health centers; final report. [Cambridge, Mass., Abt Associates] 1972. 182 p.

"PB 213 117"

"Two major types of accessibility 'barriers' were considered: psychological barriers (people's awareness of and attitudes toward services) and physical barriers (the location cost, and other operational characteristics of services)."

Health facilities and health services. Inquiry, v. 10, Mar. 1973: 17-39. RA410.A1I58, v. 10

Ray E. Brown presents a paper examining the role of state government in health facilities and services where the state government has superior capabilities. Melvin A. Glasser, J. D. Wallace, Phillip G. Thompson and William Stonemen write the comments, criticisms and analysis that follow the main article.

Hodges, Allen. Matching resources with your priorities. Social and rehabilitation record, v. 1, Feb. 1974: 6-9.

Presents a strong case for funding public health projects according to their priority and for follow-up evaluation projects.

Holland, Winford E. and Harrison H. Huntoon. The evaluation of experimental social service delivery systems at the community level: an organizational effectiveness view. Community mental health journal, v. 10, spring 1974: 41-51. RA790.A1C53, v. 10

Discusses in very general terms, issues relevant to the evaluation of experimental or pilot programs at the community level. "Five key issues are identified and discussed: (1) a concept of organizational effectiveness; (2) the role of the evaluation function; (3) the political environment for evaluation; (4) organizational configurations for evaluation; and (5) generalized steps for the implementation of the evaluation subsystem."

Hornstra, Robijn K., and Bess Udell. A measure of delivery patterns in psychiatric care. Community mental health journal, v. 10, spring 1974: 84-88.
RA790.A1C53, v. 10

"The ratio of a 1-year applicant count over a 1-day caseload count is presented as a measure of delivery patterns or conversely, utilization of services. These counts can be easily obtained. The practical use of the measure is illustrated by comparing the ratios of various facilities, of major diagnostic groups, and as an index of change of delivery patterns."

Kakalik, James S., and others. Services for handicapped youth: a program overview. Santa Monica, Calif., Rand, 1973. 341 p.

Describes "a comprehensive, 22-month cross agency evaluation of Federal and state programs for assistance to handicapped youth."

Kanno, Charles K. Eleven indices: an aid in reviewing state and local mental health and hospital programs. Washington, Joint Information Service of the American Psychiatric Association and the National Association for Mental Health, 1971. 83 p.

Kleffel, Dorothy. A statistical information program for utilization review in extended care facilities. [Washington] U.S. Health Services and Mental Health Administration, Community Health Service [for sale by the Supt. of Docs., U.S. Govt. Print. Off.] 1972. 65 p. (U.S. Dept. of Health, Education and Welfare. DHEW publication no. HSM 72-6500)

----- A utilization review program for home health agencies. [Washington] U.S. Health Services and Mental Health Administration, Community Health Service [for sale by the Supt. of Docs., U.S. Govt. Print. Off.] 1972. 35 p. (U.S. Dept. of Health, Education, and Welfare. DHEW publication no. HSM 72-6502)

Presents guidelines and suggestions for developing a technique to evaluate patient care.

Klerman, Gerald. Current evaluation research on mental health services. American journal of psychiatry, v. 131, July 1974: 783-787.
RC321.A52, v. 131

Surveys "five major sources of systematic evaluations of mental health services: 1) the public at large, 2) governmental agencies, 3) the courts, 4) the psychiatric profession, and 5) the Nixon Administration. The changing relationship between the mental health professions and the society at large will be the major focus of attention."

Levin, A.L. Health planning and the U.S. Federal Government. International journal of health services, v. 2, Aug. 1972: 367-376. RA421.I49, v. 2

"The degree to which planning is applicable to current health problems, including those of rising prices and misuse of resources, and future federal reactions to these problems, are commented upon."

Lombillo, Jose R., Thomas J. Kirasuk, and Robert E. Sherman. Evaluating a community mental health program contract fulfillment analysis. Hospital & community psychiatry, v. 24, Nov. 1973: 760-762. RC443.A1M4, v. 24

"A small community mental health program evaluates its effectiveness through a treatment outcome measurement built into the day-to-day delivery of outpatient services."

Mannino, Fortune V., and Milton F. Shore. Demonstrating effectiveness in an after-care program. Social work, v. 19, May 1974: 351-354. HV1.S644, v. 19

Suggests that social workers need to improve their evaluation techniques.

Martz, Helen, and John Trauth. Six steps to measure change. Human needs, v. 1, Feb. 1973: 25-27. HV1.H84, v. 1

Describes the Helena Comprehealth Plan which is designed to test the feasibility of a prepaid health care program for the 'medically needy.'

Moore, John H. The development of mental health resources in four pairs of counties between 1958 and 1970. New York, National Study Service [distributed by NTIS] 1972. 268 p.

"PB 210 027"

Traces "the significant development factors leading to changes in mental health resources in two pairs of counties: namely, Rutland County, Vermont, and Whatcom County, Washington; and Schenectady County, New York, and Ingham County, Michigan, between 1958 and 1970 (only one of each pair received a Federal staffing grant for a CMHC). There was noted substantial progress in the development of mental health resources in all four counties, but progress in the two counties with Federal funding has been more substantial."

Nelson, Bardin H., Jr., and J. Robert Pecarchik. A computerized program audit for community mental health clinics. Community mental health journal, v. 10, spring 1974: 102-110. RA790.A1C53, v. 10

Describes a prototype computerized data processing system for conducting accurate and meaningful evaluations of the operation and services delivery of community mental health clinics.

Rappaport, Maurice. Evaluating community mental health services: guidelines for an administrator. Hospital & community psychiatry, v. 24, Nov. 1973: 757-760. RC443.A1M4, v. 24

Addresses factors in assessing costs and effectiveness, unusual research strategies, and the need for adequate support for evaluation research.

Stoddart, Greg L. Effort-reporting and cost analysis of medical education. Journal of medical education, v. 48, Sept. 1973: 814-823. R11.A94, v. 48

Presents an historical review of applications of effort-reporting and describes a two-step process which will address the estimating of joint-production problems and introduces enough flexibility to accommodate a multidisciplinary medical education setting.

Sullivan, Daniel F. Conceptual problems in developing an index of health. Rockville, Md., U.S. National Center for Health Statistics [for sale by the Supt. of Docs., U.S. Govt. Print. Off., 1974] 18 p. RA409.U45 no.17 (U.S. Dept. of Health, Education, and Welfare. DHEW publication no. (HRA) 74-1017) (U.S. National Center for Health Statistics. Vital and health statistics. Series 2: Data evaluation and methods research, no. 17)

Considers the essential characteristics of an index using measures indicative of changing health status in the United States population, with a review of previous studies of general health indices. Problems in deciding what to measure are discussed and a method of measurement is described.

Thom, Anne-Marie, and Katherine Stafford. Time for evaluation of services. Hospitals, v. 46, Oct. 1, 1972: 57-60. RA960.H6, v. 46

Outlines possible evaluation techniques that can be used to measure the effectiveness of home medical care.

U.S. Dept. of Health, Education, and Welfare. A study of national health insurance proposals introduced in the 92nd Congress; a supplementary report to the Congress. [Washington] 1971. 83 l.

"The purpose of the study reported here is essentially twofold: 1. To develop and to present a methodology by which the costs of various national health insurance proposals can be estimated. 2. To apply the methodology to the various bills introduced in the 92nd Congress prior to April 30, 1971."

Zemach, Rita. Program evaluation and system control. American journal of public health, v. 63, July 1973: 607-609. RA421.A41, v. 63

"Evaluation of health programs is considered in terms of system control theory, as a process within a system linked to decision-making levels, and using both feedback and forward-feeding of information. This requires planning the evaluation process in planning the program, in terms of prevailing requirements and constraints."

CRS-9

Evaluations of Birth Control, Population and Child Care Programs

Boaz, Rachel Floersheim. Free-standing subsidized family planning clinics: the manpower cost of patient services. Inquiry, v. 10, Mar. 1973: 14-25. RA410.A1I58, v. 10

Bogue, Donald. Cost-effectiveness analysis of family planning programs. [Chicago] Community and Family Study Center, University of Chicago, 1973. 111 p. (Rapid Feedback for Family Planning Improvement. Family planning research and evaluation manual no. 11)

----- Family planning improvement through evaluation; a manual of basic principles. Donald J. Bogue, editor. [Chicago] Community and Family Study Center, University of Chicago, 1970. 82 p. (Family planning research and evaluation manual, no. 1) HQ763.5.B63

Burt, Marvin R., and Louis L. Blair. Options for improving the care of neglected and dependent children; program analysis applied to local government. Washington, Urban Institute, 1972. 134 p. HV743.N2B87

Chokel, Patricia K., and Janet T. Dingle. Using standard data for program evaluation in Cleveland. Family planning perspectives, v. 5, fall 1973: 216-222. HQ763. F33, v. 5

Outlines a method of analysis for administrators who wish to measure the impact of their population control programs. The types of data used in this analysis are simple, straightforward, and readily available.

Costello, Joan, and Eleanor Binstock. Review and summary of a national survey of the parent-child center program. [Washington, U.S. Bureau of Head Start and Early Childhood, 1971] 47 p. HV741.C66

Prepared for the Office of Child Development from the report submitted by Kirschner Associates.

Forrester, Jay W. Counterintuitive behavior of social systems. Technology review, v. 73, Jan. 1971: 53-68. T171.M47, v. 73

"This paper addresses several issues of broad concern in the United States: population trends; the quality of urban life; national policy for urban growth; and the unexpected, ineffective, or detrimental results often generated by government programs in these areas."

Goldstein, Hyman. Observations on evaluation of family planning programs. Health services reports, v. 88, Mar. 1973: 213-217. RA445.A25, v. 88

Hamilton, Marshall L. Evaluation of a parent and child center program. Child welfare, v. 51, Apr. 1972: 248-258. HV701.C52, v. 51

Herman, Hannah, and Dorothy C. Adkins. Hawaii Head Start evaluation -- 1968-69; final report. Honolulu, Education Research and Development Center, University of Hawaii, 1970. 182 l. LC4092.H3H4
At head of title: University of Hawaii. Head Start Evaluation and Research Center.

Hu, Teh-wei. Selected bibliography on child care evaluation studies. Monticello, Ill., 1973. 9 p. (Council of Planning Librarians. Exchange bibliography 440)

----- A cost analysis of day care centers in Pennsylvania [by] Teh-wei Hu [and] Karl Wise. University Park, College of Human Development, Pennsylvania State University, 1973. 47 p. HV857.P4H8

Kelly, William John. A cost-effectiveness study of clinical methods of birth control: with special reference to Puerto Rico. New York, Praeger Publishers [1972, c1971] 112 p. (Praeger special studies in international economics and development) HQ766.5.P8K44

McLaughlin, Curtis P., and Edward S. Trainer. Qualitative evaluation of family planning proposals and programs: a systems approach. Popsim, a demographic microsimulation model [by] D. G. Horvitz [and others. Chapel Hill, N.C.] Carolina Population Center, 1971. 70 p. (Carolina Population Center. Monograph no. 12) HQ766.M22
Includes bibliographies.

Nesenholtz, David, and Jurgen Schmandt. Social policy and the new federalism: the case of child-development policy. Public affairs, v. 19, Aug. 1973: 1-6. JK6501.P83, v. 19
Discusses the Federal influence on Texas child development policies and programs.

Roby, Pamela A. Child care-who cares? Foreign and domestic infant and early childhood development policies. New York, Basic Books [1973] 456 p. HV854.R6

Rosengard, Barbara, ed. Research, demonstration, and evaluation studies, fiscal year 1973. [Washington] U.S. Children's Bureau, Office of Child Development [1973] 71 p. (U.S. Dept. of Health, Education, and Welfare. DHEW publication no. (OCD) 74-30)
Partial contents.--Day care.--Early childhood.--Adoption and foster care.--Children's institutions.--Education for parenthood.--Single-parent families.--Head Start evaluation projects.

Rosoff, Jeannie I. Can state-administered programs achieve the national goal? Family planning perspectives, v. 5, fall 1973: 209-212.
HQ763.F33, v. 5

Concludes that without a considerable shift in state priorities, Federal funds will probably not be sought and used for family planning programs.

Shultz, Carl S., and Marilyn L. Martin. Direct and indirect financing of family planning programs: project grants and reimbursement mechanisms. Family planning perspectives, v. 5, fall 1973: 202-208. HQ763.F33, v 5

Presents "an analysis of the likely consequences of one proposed mechanism for implementing this policy: namely, tying the financing of a program of health services delivery--family planning--into state-administered public welfare systems, in this case through SSA Titles XIX and IV-A."

Simon, Julian L. Toward formal valuation of scientific research projects: a case study in population control. Policy sciences, v. 3, July 1972: 177-181.
H1.P7, v. 3

Sparer, Gerald, Louise M. Okada, and Stanley Tillinghast. How much do family planning programs cost? Family planning perspectives, v. 5, spring 1973: 100-106. HQ763.F33, v. 5

Westinghouse Learning Corporation. Day care survey, 1970; summary report and basic analysis, by Westinghouse Learning Corporation and Westat Research Inc. Prepared for: Evaluation Division, Office of Economic Opportunity. [Bladensburg, Md.] 1971-- v. HV854.W45

Young, David W. Case costing in child care: a critical step toward increased accountability in social services. Child welfare, v. 52, May 1973: 299-304. HV701.C52, v. 52

Zaidan, George C. The costs and benefits of family planning programs. Baltimore, Johns Hopkins Press [1971] 52 p. (World Bank staff occasional papers, no. 12)
HQ766.Z3

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Alaska. Office of Alcoholism. Alcoholism in Alaska and the alcoholism grant-in-aid program. Juneau, 1971. 83 p. HV5297.A4A45

Alternative approaches to opiate addiction control: costs, benefits and potential [by] William H. McGlothin [and others] Washington, Drug Control Division, Bureau of Narcotics and Dangerous Drugs, 1972. 65, A22, B35 p.
HV5816.A45

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Berecochea, John E., and George E. Sing. The effectiveness of a halfway house for civilly committed narcotic addicts. [Sacramento] Research Division, Dept. of Corrections, State of California, 1971. 17 p. (California, Dept. of Corrections, Research report no. 42) HV9305.C3A32 no. 42
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Braucht, G. Nicholas, and others. Drug education; a review of goals, approaches and effectiveness, and a paradigm for evaluation. Quarterly journal of studies on alcohol, v. 34, Dec. 1973: 1279-1292. RC367.A35, v. 34
"The controversy over the goals and educational methods currently used in alcohol and drug education is outlined. A review of the research on drug education programs indicates that there is almost no empirical evidence of the effectiveness of these programs; strategies for future research are outlined."

Calof, Judith. Observations on five residential facilities of the State of New York Narcotic Addiction Control Commission; a report to the public. Prepared for the Committee on Youth and Corrections. New York, Dept. of Public Affairs, Community Service Society of New York, 1971. 103 l.
HV5831.N7C33

Costello, Raymond M., James E. Bechtel, and Martin B. Giffen. A community's efforts to attack the problem of alcoholism. Base rate data for future program evaluation. International journal of the addictions, v. 8, 1973: 875-888.
RC566.A1I5, v. 8
Outlines "one basis by which the effectiveness of the program is to be measured and offers speculative proposals for program evaluation by collating follow-up studies gathered from a review of literature."

District of Columbia. Dept. of Corrections. Performance of corrections referrals under three narcotic addiction treatment modalities. [Washington] 1971. 36 p. (Its Research report no. 42) HV5833.W3A5
Bibliography: p. 35-36.

Jaffe, Jerome H. "We're building a health system for drug abusers." Medical economics, v. 50, Apr. 2, 1973: 25-28, 35, 37, 41-42, 47.
R723.5.M4, v. 50
Discusses the programs and evaluation techniques developed by the Special Action Office for Drug Abuse Prevention.

Kim, Yong C. Alcoholism treatment program, St. Joseph's Hospital; evaluation report, by Yong C. Kim, with the assistance of John Reid. Regina, Sask., Alcoholism Commission of Saskatchewan, 1972. 125 l. RC565.K48
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Ludwig, Arnold M., Jerome Levine, and Louis H. Stark. LSD and alcoholism; a clinical study of treatment efficacy. Springfield, Ill., Thomas [1970] 331 p.
RC565.L8

Maidlow, Spencer T., and Howard Berman. The economics of heroin treatment. American journal of public health, v. 62, Oct. 1972: 1397-1406. RA421.A41, v. 62

Compares the costs of various narcotic rehabilitation programs with the costs to society if an addict is not cured.

Miller, Sheldon, and others. Alcoholism: a statewide program evaluation. American journal of psychiatry, v. 131, Feb. 1974: 210-214. RC321.A52, v. 131

Describes the method of developing an evaluation to test the program which delivers care to alcoholics.

Murphy, Brian C. A quantitative test of the effectiveness of an experimental treatment programme for delinquent opiate addicts. [Ottawa, Information Canada, 1972] 59 p. (Research Centre. Report 4) HV5840.C32B75

National Research Council. Division of Behavioral Sciences. Report of the Panel on the Impact of Information on Drug Use and Misuse; phase I. [Washington] National Academy of Sciences [available from NTIS] 1972. 36 p.

"PB 213 097"

"The report describes current drug information programs and suggests some retrospective studies aimed at evaluating their effect on target populations."

Stanford Research Institute. Alcoholism program monitoring system development, phase II. [Menlo Park, Calif., distributed by NTIS] 1972. 1 v. (various pagings)

"PB 212 050"

Presents the development of a clinical data base which can help determine whether Alcohol Treatment Centers are meeting their objectives.

Susman, Jackwell, comp. Drug use and social policy; an AMS anthology. New York, AMS Press [1972] 595 p. HV5801.S95

U.S. Congress. Senate. Committee on Armed Services. Subcommittee on Drug Abuse in the Military Services. Review of military drug and alcohol programs. Hearings, 93d Congress, 1st session. Washington, U.S. Govt. Print. Off., 1973. 779 p. KF26.A746 1973

Hearings held Sept. 18-20, 1973.

U.S. General Accounting Office. Limited use of Federal programs to commit narcotic addicts for treatment and rehabilitation; report to the Congress [on the] Department of Justice [and] Department of Health, Education, and Welfare, by the Comptroller General of the United States. [Washington] 1971. 43 p. HV5825.A584 1971

"B-164031(2), Sept. 20, 1971"

Evaluations of the Medicare and Medicaid Programs

Berliner, Howard S. The origins of health insurance for the aged. International journal of health services, v. 3, summer 1973: 465-474.
RA421.I49, v. 3

"The author presents political-economic theory to explain the origins and actual operation of the Medicare program. The dynamics of this social innovation, as seen from the political-economic perspective, are then discussed and their relevance to health policy is shown."

Butts, Sarah A. Public assistance social services related to Medicaid. [Washington] U.S. Social and Rehabilitation Service, 1972. 42 p. (U.S. Dept. of Health, Education, and Welfare. DHEW publication no. (SRS) 72-23011)
HV687.5.U5B88

"Presents the findings of a study made in three State welfare agencies of the social service activities of adult caseworkers with the Medicaid program and their preparation for this responsibility."

Densen, Paul M. Public accountability and reporting systems in Medicare and other health programs. New England journal of medicine, v. 289, Aug. 23, 1973: 401-406.
R11.B7, v. 289

Addresses the questions of how much and what kind of information is needed, how is it to be collected, who is responsible for the collection, and how this information can be made available in the most useful manner.

Feingold, Eugene, ed. Medicare: policy and politics; a case study and policy analysis. San Francisco, Chandler Pub. Co. [1966] 317 p.
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Goldberg, George A., Jack Needleman, and Sheridan L. Weinstein. Medical care evaluation studies: a utilization review requirement. JAMA [Journal of the American Medical Association] v. 220, Apr. 17, 1972: 383-387.
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Granfield, Michael E., Sheila L. Conrad, and Marvis J. Oehm. Toward better analysis of social programs. Inquiry, v. 10, Dec. 1973: 24-33.
RA410.A1.I58, v. 10

Evaluates the impact and incidence of the Medi-Cal program which redistributes income-in-kind.

Klarman, Herbert E. Major public initiatives in health care. Public interest, no. 34, winter 1974: 106-123.
H1.P86, no. 34

Reviews the government programs in health care.

Meld, Murray B. The politics of evaluation of social programs. Social work, v. 19, July 1974: 448-455. HV1.S644, v. 19
"A brief analysis of the War on Poverty, Medicare, and the Family Assistance plan shows that political factors influenced their design and their fate more than need or effectiveness."

New Jersey. Legislature. Office of Fiscal Affairs. Program analysis of institutional maintenance support payments. [Trenton] 1974. 3 v.
Reviews the system by which New Jersey receives payment for the indigent in the state mental care facilities.

Roghmann, Klaus J., and Elbert A. Powell. Impact of Medicaid and an OEO health center on use of dental services in an urban area. Public health reports, v. 89, July-Aug. 1974: 325-329. RA11.B17, v. 89
Findings demonstrate "that even when financial barriers are removed, social class stratification persists as an important determinant of the pattern of utilization of dental health service."

Stuart, Bruce C. Who gains from public health programs? In The Nation's health: some issues. Philadelphia, American Academy of Polictical and Social Science, 1972. (Its Annals, v. 399, Jan. 1972) p. 145-150. H1.A4, v. 399
"Analysis of the economic impacts arising from the introduction of Medicare and Medicaid into Federal and state budgets leads one to question the actual magnitude of gains which recipients can expect to obtain from new funding in the health area."

U.S. General Accounting Office. Improvements needed in processing Medicare claims for physicians' services in Texas: report to the Congress [on the] Social Security Administration, Dept. of Health, Education, and Welfare, by the Comptroller General of the United States. [Washington, 1970] 53 p. HD7102.U4A54 1970
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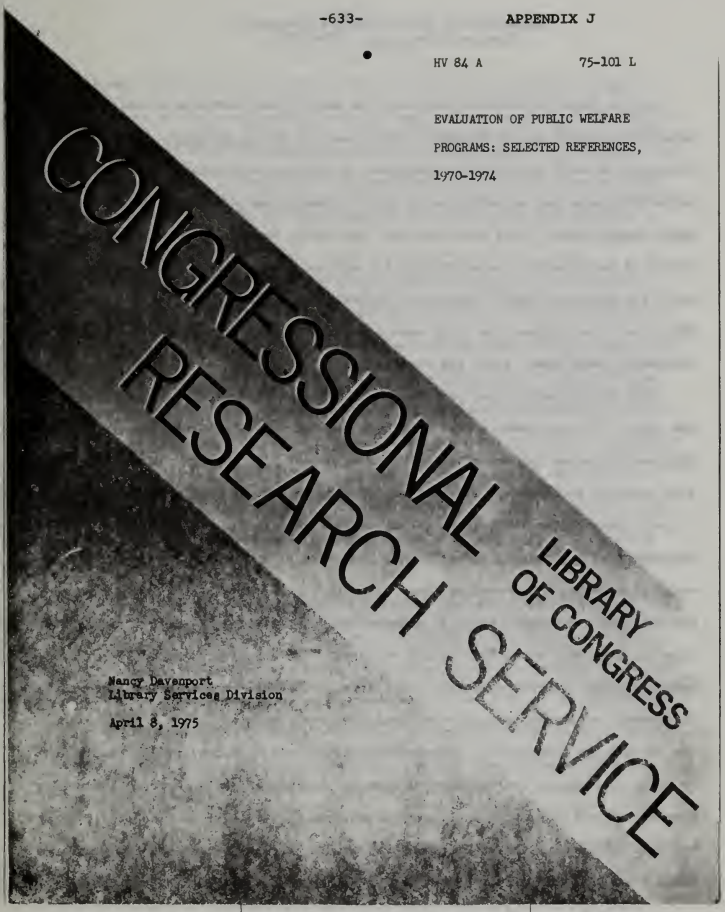
----- More needs to be done to assure that physicians' services -- paid by Medicare and Medicaid -- are necessary, report to the Congress [on the] Department of Health, Education, and Welfare by the Comptroller General of the United States. [Washington, 1972] 50 p.
"B-164031 (4), Aug. 2, 1972" HD7102.U4U55 1972

----- Problems associated with reimbursements to hospitals for services furnished under Medicare; report to the Congress [on the] Social Security Administration, Department of Health, Education, and Welfare by the Comptroller General of the United States. [Washington, 1972] 65 p.
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APPENDIX J

HV 84 A 75-101 L

EVALUATION OF PUBLIC WELFARE PROGRAMS: SELECTED REFERENCES, 1970-1974



Nancy Davenport
Library Services Division

April 8, 1975

Evaluations of Public Welfare Programs;
Selected References, 1970-1974

In its first legislative platform, the newly formed American Public Welfare Association stated in the November, 1945, issue of Public Welfare: "public welfare represents a basic guarantee by government of minimum standards of human existence below which none may be permitted to fall." Though some have argued that such standards should exist, there have been many and varied recommendations concerning the extent of governmental responsibility for welfare finance and administration. However, the growth of public assistance programs since 1945 can be easily recognized. Public welfare programs are today undergoing close scrutiny, study and evaluation because of their cost, size, and complexity.

This bibliography cites published material concerned with only one aspect of the topic: the assessments that have been made of public welfare programs and programs sponsored by the Office of Economic Opportunity through the use of evaluation research techniques. The hallmark of such techniques is the application of social science research for the purpose of attaining a scientific, objective, and comprehensive assessment of a program's effectiveness. Because of its disciplines and purposes, evaluation research has a common bond with other types of social science research, but the conditions under which it operates provide it with a character distinctive from other methods of social science research. The evaluator frequently cannot manipulate the program or control the testing conditions because of the interactive environment of an administrative process and/or its multiple goals. But through the use of computer simulations, comparative studies, quasi-control groups, estimates or other techniques, an evaluator can choose the most effective method or combination of methods to provide a scientific assessment. While it is immediately apparent that each evaluation must be tailored to the particular needs of the program being studied, there are broad methodologies common to most evaluation research.

The following two-part bibliography presents citations to journal and monographic literature on the broad methodologies of evaluation research in part one, and in part two, their specific application to public welfare and OEO programs. The majority of the citations are annotated and have been chosen from the computerized bibliographic data base created and maintained by the Library Services Division of the Congressional Research Service.

Another source of information concerning the effectiveness of public welfare programs is the reports of audits conducted and published by the General Accounting Office. The primary purpose of the audits is to make independent examinations for the Congress of the way government agencies are discharging their financial responsibilities. In its audits, the General Accounting Office makes recommendations to effect greater economy and efficiency in agency operations and attempts to determine whether alternative approaches might better accomplish the goals of the program. This bibliography cites only a few of the reports of the Comptroller General; others may be located in the monthly catalog of reports issued by the General Accounting Office.

The material cited is arranged alphabetically by main entry within each of the two sections. Citations to items in the classified collections of the Library of Congress are provided with call numbers; items designated Law are located in the Law Library and those with Newsp are found in the Newspaper and Current Periodical Room of the Library of Congress. All journal articles are provided with the call number for the bound volumes of the journal regardless of whether the issues cited have been bound at this time.

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CRS-3

Evaluation Research

Abert, James B., and Murray Kamrass, eds. Social experiments and social program evaluation; proceedings of the Washington Operations Research Council symposium. Cambridge, Mass., Ballinger Pub. Co. [1974] 199 p. HN57.A7

Benefit-cost analyses of Federal programs; a compendium of papers submitted to the Subcommittee on Priorities and Economy in Government of the Joint Economic Committee, Congress of the United States. Washington, U.S. Govt. Print. Off., 1973. 274 p. HJ7539.B45

At head of title: 92d Congress, 2d session. Joint committee print.

Partial contents.--Report on a survey of Federal program evaluation practices, by W.V. Roth, Jr.--Using benefit-cost analysis to assess a human resource investment program, by B.F. Davie.--The Family Assistance Plan: an analysis and evaluation, by D.L. Bawden, G.G. Cain, and L.J. Hausman.

Biderman, Albert D., and Laure M. Sharp. The competitive evaluation research industry. Washington, Bureau of Social Science Research, 1972. 75 p.

Examines the social program evaluation research "industry" which has recently appeared in the U.S. and the competitive aspects of that industry (in bidding for contracts, etc.).

Buchanan, Garth, Pamela Horst, and John Scanlon. Improving Federal evaluation planning. Evaluation, v. 1, no. 2, 1973: 86-90. H62.A1E9,v. 1

Describes "an approach to federal evaluation planning that the Urban Institute has been developing in work for the Department of Labor and the National Institute of Mental Health."

Caro, Francis G., comp. Readings in evaluation research. New York, Russell Sage Foundation [1971] 418 p. H62.C3425

Davis, Howard R. Four ways to goal attainment; an overview. Evaluation, v. 1, no. 2, 1973: 43-48. H62.A1E9,v. 1

Outlines four different methods of goal attainment evaluation.

Evaluation research; strategies and methods. [Pittsburgh] American Institutes for Research [1970] 160 p. H62.5.U5E9

Federal evaluation policy: analyzing the effects of public programs, by Joseph S. Wholey [and others]. Washington, Urban Institute [1970] 134 p. HN59.F37

Partial contents.--Federal evaluation--what it is and why it is needed.--Administration of an evaluation system.--Organizational relationships and responsibilities.--Evaluation resources.--Methodology.

Bibliography: p. 121-134.

Garn, Harvey A., and Mancur Olson. Public services on the assembly line. Evaluation, v. 1, no.2, 1973: 36-42, 96. H62.A1E9,v. 1

In companion articles, the authors expand on evaluation and the care that must be exercised when measuring public performance.

Gordon, T. J., S. Enger, and R. Rochberg. An experiment in simulation gaming for social policy studies. Technological forecasting, v. 1, Mar. 1970: 241-261. T174.T38,v. 1

"This paper describes the objectives, design, and play of a simulation game developed by the Institute for the Future under a grant from the Connecticut Research Commission. The general subject of the research...was the design of methodologies which promised to be useful in forecasting societal change and the application of these methodologies to derive societal forecasts for the state."

Guttentag, Marcia. Subjectivity and its use in evaluation research. Evaluation, v. 1, no. 2, 1973: 60-65. H62.A1E9,v. 1

Describes a model for program evaluation which quantifies a decision-maker's values on the belief that the inherent subjectivity of decision-making makes classical experimental designs not very useful.

Harberger, Arnold C. Project evaluation; collected papers. Chicago, Markham Pub. Co. [1972?] 330 p. HD47.H28

Hinrichs, Harley H., and Graeme M. Taylor. Systematic analysis; a primer on benefit-cost analysis and program evaluation. Pacific Palisades, Calif., Goodyear Pub. Co. [1972] 152 p. HJ2052.H53

Lyden, Fremont James, and Lawrence K. Lee. Evaluating program change. Social work, v. 18, Mar. 1973: 87-94. HV1.S644,v. 18

"The authors describe a methodology developed and used effectively in one metropolitan area to measure program change. They identify and utilize the findings to show how greater change might be effected in more agencies."

Meinert, Roland G. Futures forecasting. Social work, v. 18, Nov. 1973: 48-51. HV1.S644,v. 18

"Four systematic techniques of forecasting the future, widely practiced in other fields, could be useful in social planning. The techniques are extrapolation, Delphi forecasting, simulation, and scenario speculation."

Morehouse, Thomas A. The problem of measuring the impacts of social-action programs. [Fairbanks, Institute of Social, Economic and Government Research, University of Alaska, 1972] 26 p. (ISEGR occasional papers, no. 6) H62.5.U5M67

Bibliography: p. 24-26.

Rivlin, Alice M. Systematic thinking for social action. Washington, Brookings Institution [1971] 150 p. (H. Rowan Gaither lectures in systems science) H62.R56

Rossi, Peter Henry, and Walter Williams, eds. Evaluating social action programs; theory, practice, and politics. New York, Seminar Press, 1972. 326 p. H62.R644

Suchman, Edward Allen. Evaluation research; principles and practice in public service & social action programs. New York, Russell Sage Foundation, 1967. 186 p. H61.S888

Symposium on policy analysis. Urban affairs quarterly, v. 7, June 1972: 379-412. HT101.U67,v. 7

Contents.--Some promising approaches to policy analysis: an introduction, by J. Brandl.--An advocate's process outline for policy analysis: the case of welfare reform, by J. Lyday.--Micro-analytic simulation modeling for evaluation of public formulation and evaluation, by W. Harrar and D. Bawden.--The capacity of social science organizations to perform large-scale evaluative research, by W. Williams.

Wegner, Robert E. C. Evaluating the evaluators. Public administration review, v. 33, Jan.-Feb. 1973: 80-87. JK1.P85,v. 33

Weiss, Carol H. Abstracts on evaluative research, by Carol H. Weiss [and others. n.p.] Model Cities Evaluation Institute [1973?] 1 v. (unpaged)

Extensive abstracts of articles and books on evaluation in a variety of program areas are arranged alphabetically by author and a subject/author index is provided.

----- Between the cup and the lip... Evaluation, v. 1, no. 2, 1973: 49-55. H62.A1E9,v. 1

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